

DOCUMENT RESUME

ED 331 522

IR 053 579

AUTHOR Steel, Virginia
TITLE Remote Storage: Facilities, Materials Selection and User Services. SPEC Kit #164.
INSTITUTION Association of Research Libraries, Washington, D.C. Office of Management Services.
REPORT NO ISSN-0160-3582
PUB DATE May 90
NOTE 117p.
AVAILABLE FROM Systems and Procedures Exchange Center, Association of Research Libraries, Office of Management Services, 1527 New Hampshire Ave., NW, Washington, DC 20036 (\$20.00 for ARL members, \$30.00 for nonmembers, plus \$5.00 for postage and handling).
PUB TYPE Collected Works - General (020) -- Viewpoints (Opinion/Position Papers, Essays, etc.) (120) -- Tests/Evaluation Instruments (160)
EDRS PRICE MF01 Plus Postage. PC Not Available from EDRS.
DESCRIPTORS *Academic Libraries; Access to Information; Guides; Higher Education; *Information Storage; Library Administration; Library Expenditures; *Library Facilities; Library Material Selection; Library Surveys; Policy Formation; Preservation; Questionnaires; *Records Management; *Research Libraries; Universities

ABSTRACT

This Systems and Procedures Exchange Center (SPEC) kit presents the results of a survey which focused on the use of remote storage by research libraries as a solution to the shortage of library storage space. The kit includes documents from several libraries describing how they have developed policy questions and procedures to handle the arrangements for material selection and user access. Lists and charts profile Association of Research Libraries (ARL) member libraries not using remote storage; ARL libraries currently using remote storage; and services provided for materials in remote storage. Documents from the University of California (Berkeley) and the University of Michigan provide facility descriptions and policies. Budget and planning summaries are presented by the University of California (Riverside); Harvard University; Vanderbilt University; and Virginia Tech. Materials selection policies were contributed by Georgia Technological University, University of Michigan, Smithsonian Institute, and the University of Washington. Copies of user guides are provided by The University of California (Berkeley) and Case Western Reserve University. The survey instrument is included. (MAB)

* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *

ED331522

IR 053 574

Spec KIT

May 1990 **OMS**

Systems and Procedures Exchange Center

ISSN 0160 3582

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION
CENTER (ERIC)

- ☐ This document has been reproduced as received from the person or organization originating it.
- ☐ Minor changes have been made to improve reproduction quality.

- Points of view or opinions stated in this document do not necessarily represent official OERI position or policy.

Remote Storage: Facilities, Materials Selection and User Services

BEST COPY AVAILABLE**Kit 164**

"PERMISSION TO REPRODUCE THIS
MATERIAL IN MICROFICHE ONLY
HAS BEEN GRANTED BY

Annette C. Vernia

TO THE EDUCATIONAL RESOURCES
INFORMATION CENTER (ERIC)."



SPEC KIT SUBSCRIPTIONS

SPEC KIT SUBSCRIPTIONS INCLUDE:

- Ten Kits per year (combined issues July-August and November-December)
- With each Kit, five extra copies of the flyer are included for routing to library staff members
- Updated indexes and listings of SPEC materials and OMS publications twice per year
- Advance announcements of OMS training programs and other activities
- The OMS Annual Report

NEW SUBSCRIBERS receive a special package with their first issue that contains back issues of OMS publications and Flyers.

SPEC FLYER SUBSCRIPTIONS. Many libraries use SPEC FLYER SUBSCRIPTIONS as an inexpensive alerting service for staff members. Flyer subscriptions include:

- Five copies of each Flyer (ten per year)
- Updated indexes and listing of SPEC materials and publications twice per year
- Advance announcements of OMS training programs and activities

TO ORDER SUBSCRIPTIONS

CONTACT YOUR LIBRARY DISTRIBUTOR, SUBSCRIPTION AGENT, OR VENDOR, OR USE THE DIRECT ORDER FORM.

REMOTE STORAGE: FACILITIES, MATERIALS SELECTION, AND USER SERVICES

by Virginia Steel
Head, Access Services Department
University of California, San Diego Library

INTRODUCTION

While library collections have continued to grow throughout the 1980s, there has not been a concomitant increase in the amount of library space to house the added materials. As a result, remote storage has continued to be a commonly-used solution to the space problems research libraries have encountered. This survey on the use of remote storage facilities updates Spec Kit #39, published in 1977, which reported that 45 of the 97 responding libraries used remote storage facilities to house parts of their collections. The 1990 survey shows little change: 45 of 90 libraries currently store materials in a facility away from the rest of the collection to which the materials belong, 10 libraries are planning for remote storage, and 35 libraries do not use remote storage and are not planning for it.

The decision to store materials remotely is fraught with issues to be considered and resolved, including whether or not the storage will be a temporary solution to space shortages, what the costs are, on what basis materials will be selected for storage and by whom, whether the storage facility will be open to users, and what types of services will be provided to users. This kit includes documents from several libraries describing how they have answered these policy questions as well as the procedures that have been developed to handle the arrangements for material selection and user access.

SURVEY RESULTS

Planning for Remote Storage. More than half of the libraries surveyed who use remote storage or are planning for it (30 of 50 respondents) operate their own facilities. Those who share

facilities do so with a variety of other organizations including libraries from the same campus that have different reporting lines within the campus organizational structure, libraries from the same institution but a different campus, libraries from other institutions, and organizations that are not libraries. Eighty-two percent (40 of 50) of the libraries that currently use remote storage or are in the planning stage report that they are planning for or are in the process of adding additional library space, but even with additional space available, 39 percent (17 of 41) state that additional space will not have any impact on their remote storage arrangements. Indeed, 68 percent (34 of 50) of libraries indicate that remote storage is considered an acceptable long-term solution to space problems in library buildings.

One of the primary considerations libraries must take into account when evaluating the desirability of remote storage is the cost related to this type of housing for the collections when compared with other alternatives. Several institutions submitted detailed planning documents which are included in this Spec Kit and which provide thorough analysis of the budgetary implications of remote storage.

Selection of Materials for Remote Storage. Another difficult decision that must be made once remote storage is selected as either a temporary or permanent solution to space problems in libraries is the choice of materials to be sent to storage. Not only must materials be identified, processed, and physically moved, but the responsibility for making decisions about the materials to be stored must be assigned to an individual or a group whose constituency may vary. The most common practice reported by 41 libraries that either currently have remote storage or are planning for it is to use selectors for each discipline as the people who identify materials to be stored. The head of collection development is also involved,

Ms. Steel is currently a Council on Library Resources Intern serving at Brown University Library.

although not as frequently as the selectors. As might be expected, faculty often play some role in the selection process either as part of the initial identification process or as reviewers of the storage decisions. Of the 46 libraries that responded to this question on the survey, 12 indicate that faculty are involved in the early stages of selection, and 22 indicate that faculty review materials before the storage decision is finalized.

Criteria for selecting materials also vary but several stand out as the most frequently used. These include selecting on the basis of lack of circulation activity (38 libraries), selecting types of materials that yield many items for storage while requiring less time and effort, such as serials, (29 libraries), and selecting on the basis of date of publication (26 libraries). Other criteria used less frequently include selecting by call number area or subject classification, uncataloged materials, format of publication, materials in need of preservation, crowded areas of the stacks, closed or archival collections, cancelled journals, duplicates, and materials with potential for a high rate of theft or mutilation.

Once materials have been sent to storage, almost all libraries allow them to be returned to the library in order to be reintegrated into the general collections. Of the 47 libraries that allow such changes in storage decisions, 42 base such a reversal on frequency of use of stored materials or faculty research or teaching needs. In fewer cases at 14 libraries, availability of space in the library to house the materials will result in the permanent removal of materials from storage.

The question of storage of duplicate copies of materials is more evenly balanced; 27 libraries do not allow more than one copy of an item to be sent to storage while 21 libraries do. Of those that do permit the storage of duplicates, only 6 set any limits on the number of copies that may be stored. In making storage decisions, only 9 libraries report that they do not retain any copies of stored materials in the general collections while by far the majority, or 39 libraries, report that such duplication may occur.

User Services at Remote Storage Facilities. Services provided to library users who need materials from remote storage vary among research libraries. All libraries that use remote storage have paging services that retrieve materials upon receipt of paging requests, 26 libraries allow users to visit their storage facilities, 14 provide photocopies, and 6 provide materials via telefacsimile. Although paging services are provided in every case in which remoted storage is used, many libraries limit the paging services to specific categories of users. Faculty and staff nearly always have paging privileges, graduate and undergraduate students usually do, but often the general public, that is, those who do not have library cards, are not eligible to have materials paged from storage. Paging requests may be submitted in a variety of ways, but the most prevalent continues to be by having users fill out a request form. Other less frequently used techniques include telephone requests

and requests sent over electronic mail, by telefacsimile, or through the online catalog. Thirty-five libraries estimate their turnaround time for delivery of paged materials to be 24 hours or less. Only four libraries page materials in less than 4 hours, while 15 libraries offer turnaround times of 48 hours or longer.

Of the 45 libraries using remote storage facilities, 30 of them do not open these facilities to their users. The remaining 15 provide a variety of services at the facility such as reading rooms, on-site paging, browsing in the stacks, photocopiers, circulation, reference assistance, and access to catalogs of holdings at the storage facility and/or on campus. Just as paging privileges from campus libraries are limited to certain categories of patrons, actual use of materials at the remote storage facilities is often limited to faculty, staff, and students, or is available only by special arrangement.

Given the impact of remote storage of library materials on users' abilities to find materials immediately, one would speculate that many libraries would have surveyed their users to learn their reactions. However, of the respondents to the remote storage survey only four mentioned feedback about the use of remote storage gathered from their users. The comments on these surveys ranged from "no one likes it" to "most were resigned to it and/or found it only a minor inconvenience" or the users' "negative perceptions of storage declined, and older faculty tended to be more positive about storage than younger faculty."

ISSUES AND TRENDS

The number of storage facilities in research libraries continues to be constant, with approximately half of the libraries responding to surveys in 1977 and 1990 reporting that they use this type of arrangement to house collections.

Because storage facilities are prevalent in research libraries, several areas related to the management of remote storage deserve further exploration, analysis, and evaluation. The first of these is to determine how successful the selection process is or whether different criteria need to be developed to help librarians choose the most appropriate materials for storage. A second area worthy of further study is to survey users to find out the impact remote storage has on their efficiency when doing research. While the use of remote storage facilities is considered to be an acceptable solution to long-term space problems, libraries will want to measure the effectiveness of the storage arrangements in order to minimize inconveniences to users.

This flyer/kit was prepared as part of the OMS Collaborative Research/Writing Program.

**Remote Storage: Facilities, Materials Selection,
and User Services****Kit # 164****May 1990**

Survey Results	3
ARL Libraries Not Using Remote Storage	9
ARL Libraries Planning for Remote Storage	11
ARL Libraries Currently Using Remote Storage	13
Services Provided for Materials in Remote Storage	17
Facility Descriptions and Policies	
University of California at Berkeley Northern Regional Library Facility Statement of Operating Principles	25
University of Michigan	35
Budget and Planning	
University of California, Riverside Need for Temporary Surge Space for the Library	39
Harvard University Harvard Depository Price & Services Summary	49
Vanderbilt University Annex Budget Allocation	51
Virginia Tech University Planning for the University Libraries' Long-Term Space Requirements	53

Materials Selection

Georgia Tech University	
<i>Procedures for Systematic Collection</i>	
<i>Management Decisions</i>	67
University of Michigan	
<i>Graduate Library Buhr Review Process</i>	75
Smithsonian Institution	83
University of Washington	101

User Guides

University of California at Berkeley	107
Case Western Reserve University	109



OMS

Systems and Procedures Exchange Center

SURVEY RESULTS



ASSOCIATION OF RESEARCH LIBRARIES

OFFICE OF MANAGEMENT SERVICES

1527 New Hampshire Avenue, N.W., Washington, D.C. 20036
202-232-8656 FAX 202-462-7849

TO: SPEC Liaisons

FROM: C. Brigid Welch, Program Officer for Information Services
Virginia Steel, Brown University

DATE: 20 July 1990

SUBJECT: SPEC Survey on Remote Storage: Facilities, Materials Selection, and User Services

We are gathering current information on remote storage facilities, selection, and user services for a SPEC kit and flyer to be published later this fall.

Please complete this survey and return it ARL/OMS by **24 August 1990**.

Thank you for your assistance. Please contact Brigid Welch at (202) 232-8656 if you have additional questions.

SPEC SURVEY
REMOTE STORAGE: FACILITIES, MATERIALS SELECTION, AND USER SERVICES

Library/Institution: _____

Contact Person: _____

Title: _____ Telephone: _____

GENERAL INFORMATION

In filling out this questionnaire, please use the following definition of remote storage:

collections of more than 50,000 items housed in a facility away from the rest of the collection to which the materials belong.

1. Please describe the library's use of remote storage:

35 A. Not using remote storage now, and no planning for remote storage is underway.
Note: If this statement describes your library's storage situation, **STOP** here and return this questionnaire to ARL/OMS.

10 B. Not using remote storage now, but planning is underway.

The estimated occupancy date is table follows

The anticipated capacity (in number of volumes) is _____

The storage facility will be located:

_____ on-campus

_____ off-campus. Approximate distance from campus: _____

45 C. Currently using remote storage.

(Please complete the following table by listing the name of each storage facility, capacity (in number of volumes), number of volumes currently stored, whether or not the storage facility is located on or off campus, and how far the storage facility is from the main library.)

FACILITY NAME	CAPACITY (VOLS.)	# OR VOLS. NOW STORED	ON-CAMPUS? (YES OR NO)	DISTANCE FROM LIBRARY
1.				
2.	Table follows			
3.				
4.				

2. Does the library share remote storage facility(ies) with other libraries or organizations?

30 No 20 Yes

The other organizations are:

5 libraries from the same campus that have different reporting lines within the campus organizational structure
5 libraries from the same institution but a different campus
4 libraries from other institutions
5 not libraries but other types of organizations
5 other: _____

Please describe briefly the arrangements for sharing the storage facility(ies). (If documents are available describing the governance of the shared storage facilities, please include copies of these when returning this questionnaire.)

3. Is the library planning for or in the process of adding additional space to any existing library buildings, or is it building any new libraries?

10 No
40 Yes. Please describe:

If yes, will the increase in library space affect the remote storage arrangements currently in place?

17 No
24 Yes. Please elaborate:

4. Does library administration consider remote storage to be an acceptable long-term solution to space problems in library buildings.

15 No

31 Yes

If not, are current remote storage arrangements considered temporary?

9 No

7 Yes

Comments:

5. Has the library completed any cost studies to determine how much remote storage costs?

41 No

6 Yes

6. If possible, please provide the budget figure(s) for remote storage from the 1989-90 fiscal year and indicate what is included in the figures. (If any budget documents or cost studies are available, please return copies with this questionnaire.)

SELECTION OF MATERIALS

1. Who selects materials to be sent to remote storage? (Check all that apply.)

41 Selectors for each discipline

12 Faculty

18 Head of collection development

5 Committee of selectors

 Committee of faculty and selectors

18 Other: _____

If faculty do not select materials initially, do they review what is selected by others before materials are sent to storage?

21 No

22 Yes. Please elaborate on the role faculty play in determining whether something is sent to storage. (e.g., Do faculty have veto power?)

2. What strategies are used to select materials for storage? (Check the **THREE** that are considered most often when selecting materials for storage.)

26 Date of publication

14 Call number classification nor subject area

38 Lack of circulation activity

29 Types of material that yield many items for storage while requiring less time and effort on the part of selectors and processors (e.g., serials)

10 Uncataloged materials

4 Format of publication (e.g., microforms)

5 Materials in need of preservation

12 Other: _____

3. Once material has been sent to storage, can it be returned to the library to be restored to the general collection?

4 No 47 Yes

If yes, what criteria are used to decide when to bring an item back to its original location?

42 Frequency of use
42 Faculty research or teaching need
14 Availability of space in library to house items
4 Other: _____

4. May more than one copy of an item be sent to storage?

21 No 27 Yes

If yes, is there any limit to the number of copies of an item that may be stored?

23 No 6 Yes

5. May the library retain duplicate copies of material in storage in its general collections?

9 No 39 Yes

USER SERVICES

1. How may patrons obtain materials that have been sent to storage?

49 Submit paging requests for retrieval of materials
26 Visit storage facility
14 Request photocopies
6 Obtain copies via telefacsimile
1 Other: _____

2. Who may page materials from storage?

45 Faculty
48 Staff
44 Graduate students
44 Undergraduate Students
40 Other library card holders
28 General public (those who do not have library cards)
7 Other: _____

3. How may patrons submit paging or copy requests?

46 By completing a paging request form
11 Via electronic mail
19 Via telephone
6 Via telefacsimile
5 Other: _____

4. How long does it take to retrieve materials from storage?

1 1 hour
 2 hours
3 4 hours
35 24 hours
5 48 hours
10 Other: _____

5. Does the library deliver materials retrieved from storage to campus offices?

34 No 9 Yes

6. During the 1989-90 fiscal year, how many items were paged from storage? (If available, please send copies of any paging statistics when returning this questionnaire.)

7. What services for users are available at the storage facility?

30 None, the facility is closed to the public
16 On-site paging service
11 Browsing permitted in stacks
12 Circulation of stored materials handled at storage facility
19 On-site reading room
18 Photocopiers
13 Access to catalog for holdings of storage facility
12 Access to library catalogs for holdings of campus library(ies)
2 Reference assistance
3 Other: _____

8. Who may use the services on-site at the storage facility?

22 Faculty
22 Staff
21 Graduate students
19 Undergraduate Students
17 Other library card holders
10 General public (those who do not have library cards)
4 Other: _____

8. Have you conducted any surveys to evaluate user responses to having library materials in remote storage? (Please include copies of any evaluations when returning this questionnaire.)

45 No
4 Yes. Please summarize the results:

GENERAL COMMENTS

If you have any additional comments about remote storage, please add them here or attach other sheets.

CALL FOR DOCUMENTS

Please send copies of any policies, procedures, public relations materials, or other information related to any of the following aspects of remote storage:

- General Operations
- Governance of Shared Remote Storage Facilities
- Cost Studies and Budget Documents
- Selection of Materials
- Duplication of Materials in Storage
- Publicity about Remote Storage
- Long-term Plans for Library Facilities and Housing of Collections
- User Services, including Paging, On-Site Services, Remote Access, and Use Statistics

Please send the completed questionnaire and all additional documentation by **August 24, 1990**, to:

Office of Management Services
Association of Research Libraries
1527 New Hampshire Avenue, N.W.
Washington, D.C. 20036

THANK YOU FOR YOUR COOPERATION!

ARL Libraries Not Using Remote Storage

University of Alabama
University of Arizona
Arizona State University
Brown University
University of Colorado
University of Connecticut
University of Delaware
Florida State University
University of Hawaii
University of Houston
Howard University
Laval University
Linda Hall Library
Louisiana State University
McGill University
University of Massachusetts
National Agricultural Library
National Library of Medicine
University of Nebraska-Lincoln
Newberry Library
University of New Mexico
New York University
North Carolina State University
Northwestern University
University of Notre Dame
University of Oklahoma
Oklahoma State University
University of Oregon
University of Rochester
State University of New York at Albany
University of Tennessee
Texas A&M University
University of Toronto
Tulane University
Washington State University
Yale University

ARL Libraries Planning for Remote Storage

Institution	Estimated Date of Occupancy	Estimated Capacity*	Distance from Campus
University of Alberta	n/a	n/a	5 miles
University of Georgia	Spring 1991	800,000	3 miles
Georgia Institute of Technology	1992	50,000-70,000	on campus
University of Illinois	n/a	200,000 initially 500,000 total	1-2 miles
University of Miami	n/a	68,000 on regular shelving 135,000 on compact shelving	n/a
University of Saskatchewan	May 1992	50,000 approximately	on campus
University of Utah	n/a	n/a	n/a
University of Virginia	January 1992 or January 1993, depending on state budget	1,600,000	1.5 miles
York University	September 1991	n/a	2-3 miles

*Capacity is in volumes unless otherwise indicated.

ARL Libraries Currently Using Storage

Institution	Facility Name	Capacity*	Number of Volumes in Storage*	Location	Distance from Lib.
Boston Public Library	New England Deposit Library	45,000 linear feet	at capacity	off site	5 miles
	Charlestown Service Building	16,000 linear feet	at capacity	off site	2 miles
Brigham Young University	B-67	225,000	125,000 volumes	off campus	1 mile
University of California, Berkeley	Northern Regional Library Facility	3.08 mil. vol. equiv.	3.08 volume equiv.	off campus	7 miles
University of California, Davis	Northern Regional Library Facility		437,972	off campus	60 miles
	Library Annex	n/a	61,231	on campus	n/a
University of California, Irvine	Southern Regional Library Facility	6.00 mil. vol. equiv.	165,000	off campus	40 miles
University of California, Riverside	Southern Regional Library Facility	3.5 mil. vol. equiv.	85,000	off campus	75 miles
University of California, San Diego	Southern Regional Library Facility	3.5 mil. vol. equiv.	65,000	off campus	120 miles
	Library Annex	600,000	350,000	off campus	8 miles
University of California, Santa Barbara	Southern Regional Library Facility	3.5 mil. vol. equiv.		off campus	100 miles
	Local Warehouse	250,000	200,000	off campus	10 miles
Case Western Reserve	Univ. Library Storage	n/a	250,000	off campus	2 miles
Univ. of Chicago	Harper Storage	260,000	130,000	on campus	.25 mile

Univ. of Cincinnati	Prodie	70,000	60,000	on campus	250 feet
	Sears	55,000	occupancy scheduled for Autumn 1990	off campus	1 mile
Colorado State Univ.	Lake Street Library Depository	500,000	400,000	on campus	.5 mile
Dartmouth College	Storage Library	38,000 feet	33,000 feet	off campus	2 miles
Emory Univ.	Material Center	n/a	n/a	n/a	2 miles
Univ. of Florida	Hills	59,000	59,000	off campus	4 miles
Univ. of Illinois-Chicago	Alumni Hall	55,000+	50,000	on campus	4 blocks
	"Gold Seal" Building	150,000	70-75,000	on campus	.5 mile
Univ. of Iowa	Main Library Storage Unit	220,000	160,000 dep't. libraries 60,000 main library	on campus	in Main Lib
Iowa State Univ.	Storage Building	195,000	121,000	on campus	2 blocks
Johns Hopkins Univ.	Gilman Hall Storage Library	275,000	270,000	on campus	500 feet
McMaster Univ.	Thode Storage	172,000	170,000	on campus	.25 mile
Univ. of Maryland	Bowie State	175,000	114,000	off campus	15 miles
	Beltville Warehouse	bulk storage	150 boxes & 61 file cabinets	off campus	4 miles
	New Carrollton	bulk storage	190 files cabinets	off campus	4 miles
	Zoo-Psych Building	bulk storage	1200 linear feet	on campus	.25 mile
Massachusetts Institute of Technology	Retrospective Collection	500,000	450,000	off campus	.5-1 mile
	Harvard Depository	n/a	29,000	off campus	40 miles
Univ. of Michigan	Buhr	1,700,000, excluding rare book stacks	1,028,952	on campus	.75 mile
Univ. of Missouri	Annex	430,000	400,000+	off campus	2 miles

New York Public Library	Annex	600,000	500,000	off site	2 miles
New York State Library	Education Building Stacks	n/a	50,000	n/a	.5 mile
Univ. of North Carolina	Wilson Annex	800,000	250,000	on campus	850 feet
Ohio State Univ.	OSU Library Book Depository	285,000	282,000	off campus	3 miles
Univ. of Pennsylvania	4015 Walnut Street	320,000	150,000	on campus	.5 mile
Princeton Univ.	Fine Hall Annex	350,000	240,000	on campus	n/a
	Forrestal Annex	300,000	290,000	off campus	5 miles
Purdue Univ.	Storage Library	1,000,000	400,000	on campus	0-2 miles
Queen's Univ.	West Campus	112,000	106,864	on satellite campus	1 mile
	Douglas Library Storage	60,000	53,400	on campus	in same bldg
Rice Univ.	Stadium Storage	225,000	150,000	on campus	.5 mile
Smithsonian Institution	SIL Remote Annex (SILRA)	170,000	81,945	off site	3 miles
Southern Illinois Univ.	Library Storage Building	500,000	345,000	on campus	1 mile
Stanford Univ.	Stanford Auxiliary Library	380,000	180,000	on campus	n/a
Syracuse Univ.	Hawkins Building	42,000 linear feet	42,000 linear feet	off campus	2.5 miles
		100,000 volumes	84,000 volumes		
Temple Univ.	Traylor Warehouse	25,000 square feet	15,000 cubic feet	off campus	1 mile
Vanderbilt Univ.	Library Annex	1,000,000	400,000 volumes 3,000 archival boxes	off campus	2 miles
Virginia Tech Univ.	CHDS	225,000	200,000	off campus	5 miles

Univ. of Washington	Kane Hall Auxiliary Stacks	480,000	400,000	on campus	next bldg
	Peaches (Manuscripts and Archives)	24,000 linear feet	90% full	off campus	1 mile
Washington Univ.	Tyson	n/a	100,000	off campus	20 miles
Univ. of Waterloo	n/a	300,000	177,000	on campus	.5 mile
Wayne State Univ.	Library Annex	500,000	400,000	on campus	3 blocks

*Unless otherwise indicated, figures indicate number of volumes.

Services Provided for Materials in Remote Storage

Institution	How requests are submitted	Retrieval turn- around time	Is facility open to users	On-site services
Boston Public Library	Fill out request form	48 hours	Yes	Reading room
Brigham Young Univ.	Fill out request form	24 hours	No	n/a
University of California, Berkeley	Fill out request form Via electronic mail Via telephone Via telefacsimile	24 hours	Yes	Paging service Reading room Photocopiers Catalog of holdings of storage facility Catalog of holdings on campus
University of California, Davis	Fill out request form Via telephone	24 hours	Yes	Same as UC Berkeley
University of California, Irvine	Fill out request form Via electronic mail	24 hours	Yes	Paging service Reading room Photocopiers Catalog of holdings of storage facility Catalog of holdings on campus
University of California, Riverside	Fill out request form	48 hours	Yes	Paging service Circulation Reading room Photocopiers

University of California, San Diego	Fill out request form Via electronic mail Via telephone	24 hours	Yes	Paging service Browsing in stacks Circulation Reading room Photocopiers Catalog of holdings of storage facility Catalog of holdings on campus
University of California, Santa Barbara	Fill out request form	24 hours	Yes	Paging service Circulation Reading room Photocopiers Catalog of holdings of storage facility Catalog of holdings on campus
Case Western Reserve Univ.	n/a	4 hours	Yes	Browsing in stacks Circulation Reading room Photocopiers Catalog of holdings of storage facility Catalog of holdings on campus
Center for Research Libraries	Request materials at member library	48 hours	Yes	Paging service Browsing in stacks Reading room Photocopiers Catalog of holdings of storage facilities

Univ. of Chicago	Fill out request form Via telephone	24 hours	No	n/a
Univ. of Cincinnati	Fill out request form	24 hours	No	n/a
Colorado State Univ.	Fill out request form Via telephone Via telefacsimile	once a day	No	Browsing in stacks by special permission
Dartmouth College	Fill out request form	24 hours or less	Yes	Browsing in stacks Reading room Photocopiers
Emory Univ.	Fill out request form	24 hours	No	n/a
Univ. of Florida	Fill out request form	once a day	No	n/a
Univ. of Illinois-Chicago	Fill out request form	24 hours	No	n/a
Univ. of Iowa	Fill out request form Via telephone	24 hours	Yes	Paging service Circulation Reading room Photocopiers Catalog of holdings on campus Reference assistance
Iowa State Univ.	Fill out request form Via telephone	twice a day on weekdays once a day on weekends	No	Browsing in stacks with special permission
Johns Hopkins Univ.	Fill out request form Via electronic mail Via telephone	1 hour	No	Browsing in stacks with special permission Reading room for materials in poor condition Catalog of holdings of storage facility

McMaster Univ.	Fill out request form	24 hours, Monday-Friday	No	n/a
Univ. of Maryland	Fill out request form Via electronic mail Via telephone Via telefacsimile In person	24-72 hours depending on staff availability	No	n/a
Massachusetts Institute of Technology	Fill out request form	24 hours	Yes	Paging service Browsing in stacks Circulation Reading room Photocopiers Catalog of holdings of storage facility Catalog of holdings on campus
Univ. of Michigan	Fill out request form Via electronic mail Via telephone	24 hours	Yes	Paging service Circulation Reading room Photocopiers Catalog of holdings on campus
Univ. of Missouri	Fill out request form Via electronic mail Via telephone	24 hours	No	Browsing in stacks for faculty by appointment only
New York Public Library	Fill out request form	24 hours	Yes	Paging service Reading room Photocopiers Reference assistance
New York State Library	Fill out request form Via telephone	24 hours	n/a	n/a

Univ. of North Carolina	Fill out request form Via telephone Other types of requests would be accepted	24 hours	No	Browsing in stacks with special permission
Ohio State Univ.	Fill out request form Via telephone Via OPAC	24 hours	No	Reading room in Univ. Archives adjacent to storage facility
Univ. of Pennsylvania	Fill out request form	24 hours	No	n/e
Princeton Univ.	Fill out request form Via telephone	24-48 hours	Yes (on- campus) No (off- campus)	Paging service Circulation Reading room Photocopiers Catalog of holdings of storage facility
Purdue Univ.	Fill out request form	24 hours	Yes	Paging service Browsing in stacks with special permission Circulation Reading room Photocopiers Catalog of holdings of storage facility Catalog of holdings on campus
Queen's Univ.	Fill out request form	24 hours	No	Browsing in stacks with special permission
Rice Univ.	Fill out request form	24 hours	No	n/e
Smithsonian Institution	Fill out request form	24 hours	No	n/e

Southern Illinois Univ.	Fill out request form	24-48 hours	Yes	Paging service Reading room Photocopiers Catalog of holdings of storage facility Catalog of holdings on campus
Stanford Univ.	Fill out request form Via electronic mail Via telephone	24 hours	Yes	Paging service Browsing in stacks Circulation Reading room Photocopiers Catalog of holdings of storage facility Catalog of holdings on campus
Syracuse Univ.	Via electronic mail Via telephone Via telefacsimile Via letter In person	24 hours	No	n/a
Temple Univ.	Fill out request form Via electronic mail Via telephone Via telefacsimile	24 hours	No	n/a
Vanderbilt Univ.	Fill out request form	24 hours	No	n/a
Virginia Tech Univ.	Fill out request form Via electronic mail	4-24 hours	Yes	Browsing in stacks
Univ. of Washington	Fill out request form Via telephone	Twice a day, Monday-Friday Once a day, weekends	No	n/a
Washington Univ.	Fill out request form	Up to one week	No	n/a

Univ. of Waterloo	Fill out request form Via telephone Online using circ system	24 hours	No	n/a
Wayne State Univ.	Fill out request form	24 hours	No	n/a



OMS

Systems and Procedures Exchange Center

FACILITY DESCRIPTIONS AND POLICIES

BRANCH PROCESSING MANUAL

NORTHERN REGIONAL LIBRARY FACILITY
STATEMENT OF OPERATING PRINCIPLES

The following statement reflects policy adopted by the
Northern Regional Library Board as revised on March 13, 1986.

April, 1986

University of California
U.C. RFS - Bldg. 400
South 47th & Hoffman Blvd.
Richmond, CA 94804-4698
(415) 232-7767
(415) 642-6233

NORTHERN REGIONAL LIBRARY FACILITY

STATEMENT OF OPERATING PRINCIPLES

CONTENTS

1.0 NORTHERN REGIONAL LIBRARY FACILITY

- 1.1 Introduction
- 1.2 Description
- 1.3 Purpose and Goals
- 1.4 Depositors
- 1.5 Charges
- 1.6 Governance

2.0 DEPOSITS

- 2.1 Material Eligible and Not Eligible for Deposit
- 2.2 Records
 - 2.2.1 Book and Book-Like Material
 - 2.2.2 Non-Book Material
- 2.3 Requests to Deposit
- 2.4 Scheduling
- 2.5 Priorities
- 2.6 Withdrawals

3.0 SERVICES

- 3.1 Off-site
 - 3.1.1 Lending
 - 3.1.2 Photocopy
- 3.2 On-site
 - 3.2.1 Reading Room Use
 - 3.2.2 Stack Access
 - 3.2.3 Lending
 - 3.2.4 Photocopy

NOTES

NORTHERN REGIONAL LIBRARY FACILITY

STATEMENT OF OPERATING PRINCIPLES

April, 1986

1.0 NORTHERN REGIONAL LIBRARY FACILITY

1.1 Introduction

This document expresses the basic principles governing the Northern Regional Library Facility. It establishes the purposes and goals of the Facility and states the guiding principles under which the Facility operates. Specific procedures and definitions of terms may be found in a separate operations manual.

1.2 Description

The Facility is located at the University of California, Berkeley's Richmond Field Station in Richmond, California. Formation of the Facility was recommended in Chapter X of The University of California Libraries, A Plan for Development, (1977). State funding was provided for the building project in 1981, and construction was completed by October 1982. It began operation in 1983. The building has staff and reader space as well as stack space. The stack component provides capacity for over 3,000,000 volumes. The building is designed to permit construction of new stack components as the need for additional space develops.

Materials are shelved by size and accession number to maximize the capacity of the Facility. The materials of depositing libraries are intershelved. However, non-University of California deposits are not intershelved with University of California deposits. A high security area is available for special collections.

1.3 Purposes and Goals

The Facility was developed to store, preserve and provide access to low use library materials of research value in a cost effective, economical manner for the libraries of the University of California. As part of an effort to foster interlibrary cooperation, participation by other segments of the library community, public and private, is accepted.

1.4 Depositors

Primary depositors to the Facility are the libraries of the northern campuses of the University of California (UC). Other segments of the library community, public and private, may also become depositors. Libraries which deposit material in the Facility are "depositing libraries." Libraries in northern California are eligible to become "depositing libraries." Libraries outside northern California are not eligible to deposit material at the Facility. Individuals, agencies, or institutions are not eligible to deposit material with the Facility. All depositing libraries are subject to Northern Regional Library Board policy.

1.5 Charges

With the exception of UC libraries, depositing libraries are assessed on a cost recovery basis for services provided by the Facility, such as processing and housing materials, and administrative costs.

1.6 Governance

The Facility is managed and operated by the University of California. It is governed by the Northern Regional Library Board, which is appointed by and responsible to the President of UC. Voting members of the Board are the University Librarians from the four northern UC campuses: Davis, Berkeley, Santa Cruz and San Francisco, and the Assistant Vice President for Library Plans and Policies, a representative of the UC Academic Senate, and a representative of the Librarians Association of the University of California.

Non-voting members include the Director of the Facility (ex officio), the State Librarian of California (ex officio) as a representative of public libraries, and a representative of private academic libraries.

A California State University representative and representatives from other library sectors may be invited to become non-voting members of the Board.

The Chair of the Board is chosen by the voting members for a two year term. The Chair must be a voting member of the Board. The Director of the Facility reports to the Board.

2.0 DEPOSITS

Ownership of material is retained by the depositing library. (Ownership of UC material is retained by the Regents of the University of California.) In order to assure maximum and economical use of the Facility, it is expected that material deposited is intended for permanent storage.

2.1 Material Eligible and Not Eligible for Deposit

Materials may be in any physical form normally considered appropriate for library collections with the following exceptions:

Only material in low current demand will be retained.

Materials which duplicate items already on deposit are proscribed to the extent administratively feasible in order to save space. Exceptions to this principle may be made by the Board. Special collections material may be exempted from this principle at the discretion of the Director. Non-UC institutions may determine their own principles regarding material that may duplicate material already in the Facility; non-UC institutions are encouraged to minimize the deposit of duplicate material; a given non-UC institution may not send multiple copies of the same work to the Facility.

Materials in an advanced state of deterioration are not accepted.

Highly flammable or potentially explosive items (e.g., nitrate films) are prohibited.

2.2 Records

2.2.1 Book and Book-Like Material

Each depositing library is responsible for providing a machine readable bibliographic record for all book and book-like items deposited. The records provided must meet UC minimum record standards, and the format must be compatible with the UC Union catalog. Because the primary means of retrieving material on deposit is the Facility inventory control number, the records must also be capable of accommodating that number.

All UC holdings at the Facility must be listed in the UC Union Catalog, and they must contain the Facility's inventory control number for each item.

2.2.2 Non-Book Material

Depositing libraries must provide a machine readable minimum storage record for non-book material, the content of the record to be specified by the Director.

2.3 Requests to Deposit

Requests to deposit material are reviewed on a regular basis by the Director.

Acceptance of deposit requests for accessioning is based upon the ability of the requesting library to meet conditions outlined in this statement, for example, condition, duplication, form, and bibliographic control.

2.4 Scheduling

Immediacy of need for transfer to the Facility, availability of Facility space and Facility operating requirements are considered when scheduling receipt of deposits.

2.5 Priorities

If the space required to store acceptable deposits exceeds the Facility space available, the Board establishes the priority for acceptance of deposits.

A minimum of 10% of the total storage space in the Facility is allocated to non-University of California library deposits.

2.6 Withdrawals

A depositing library may permanently withdraw owned deposited items from the Facility.

3.0 SERVICES

Primary access to material on deposit at the Facility is provided through lending and photocopy services to individuals through libraries. Access also is provided through on-site (at the Facility) services to individuals.

3.1 Off-Site (Remote) Services

Off-site services are those provided by the Facility to individuals through other libraries. Off-site services provided include lending and photocopy.

3.1.1 Lending

The target period for delivery of requested material to UC libraries in the northern region is no more than two working days from receipt of the request at the library location, as designated by the library, to availability of the material at the requesting library.

The target turnaround time for delivery of material to UC libraries in the southern region is no more than five working days from receipt of the request at the Facility to receipt of the item at the requesting library.

Non-UC libraries requesting lending services are charged for those services on a cost recovery basis. UC libraries are not charged for lending services.

Material shelved in the special collections area is lent only to the depositing library.

3.1.2 Photocopy

Photocopies of material deposited at the Facility may be requested by a library. Non-UC libraries requesting photocopy services are charged for those services on a cost recovery basis. UC libraries are not charged for photocopy services.

3.2 On-Site Services

3.2.1 Reading Room Use

The following individuals may visit the Facility, have materials paged, and use material in the Reading Room: individuals who hold a valid UC library card; faculty, staff, and students from academic institutions which have depositing libraries; other individuals from institutions

3.2.1 Reading Room Use (Continued)

with depositing libraries and with specific authorization from their home library or the Director of the Facility.

On-site use of material shelved in the special collections area shall occur only with prior authorization from the head of the depositing library or the head's designate.

3.2.2 Stack Access

Stack access to regular collections is available to faculty, graduate students*, and librarians from academic institutions which have depositing libraries. Stack access for other users may be authorized by the Director or the Director's designate.

3.2.3 Lending

On-site lending services are provided to individuals who show a valid UC library borrowers card, and to faculty, staff, and students from academic institutions which have depositing libraries who show a currently valid institutional or library card.

On-site circulation to individuals from non-UC institutions with depositing libraries is charged to their home library on a cost recovery basis.

3.2.4 Photocopy

On-site photocopy services are charged to the individual, UC and non-UC, on a cost recovery basis.

* For purposes of stack access, all students at UCSF are considered graduate students.

NOTES TO ACCOMPANY STATEMENT OF OPERATING PRINCIPLES

Section 1.1 Introduction:

Specific procedures and definitions of terms may be found in a separate operations manual. Facility staff and advisory committees have begun to draft statements, but the full document may not be available for some time. As sections are drafted, they will be forwarded to the Board for review and made available in the published operations manual.

Section 1.2 Description:

A complete description of shelving arrangement, including clarifying language will be provided in the operations manual.

Section 1.4 Depositors:

Northern California is defined as north of the Techachapi mountains (Board meeting of 12/8/82.) A complete list of depositing libraries will be available in the operations manual. It is currently available as a separate list from the Facility.

Section 1.5 Charges:

For charging purposes, a list of University of California libraries will be available in the operations manual. Libraries not on the list will be charged as indicated in the operating principles.

A fee schedule will be included in the operations manual. It is currently available as a separate document: "Non-University of California Participation Fee Schedule, December 31, 1985" from the Facility.

Section 1.6 Governance:

A complete, up-to-date list of Board members is available from the Facility or the UC Office of the President. This list is updated regularly and will be included in the operations manual.

The AICCU (Association of Independent California Colleges and Universities) has been asked by the Chair of the Board to recommend an individual to represent private academic libraries. To date, no recommendation has been received.

Section 2.1 Material Eligible and Not Eligible for Deposit:

Facility staff and advisory committees will develop guidelines for the definition of "low current demand" for insertion in the operations manual.

Guidelines on a definition of "advanced state of deterioration" will be developed by Facility staff with assistance from advisory committees and inserted in the operations manual.

The principle covering non-UC duplication is to be reexamined by the Board when any expansion of the Facility is available. The following are defined as institutions under this principle of non-duplication: all University of California campuses, all California State University campuses, the California State Library, all California public libraries, Stanford University, Golden Gate University, other private universities and colleges, and all California community colleges. [Board minutes, 12/13/84, p.2]

Realia is restricted to less than one percent (1%) of any library's total special collections deposit.

Section 2.2 Records:

Libraries may arrange to provide paper records to the Facility and pay the Facility to key records on a cost recovery basis. Procedures for making these arrangements will appear in the operations manual.

UC minimum record standards for monographs and serials will be included in the operations manual. As other format standards are developed, they will be added to the manual.

Inclusion of non-UC materials in the UC Union Catalog is under investigation.

Section 2.2.2 Non-Book Material:

Facility staff and committees advisory to the Facility will help to define a minimum storage record which will be available in the operations manual. Libraries may arrange to provide paper records to the Facility to key records on a cost recovery basis. Procedures for making these arrangements will appear in the operations manual.

Section 2.4 Requests to Deposit:

Procedures for submitting deposit requests, review, scheduling and notification of requesting libraries of request disposition will be outlined in the operations manual.

Section 3.1 Off-Site (Remote) Services:

Procedural guidelines for the remote lending of regular collections to U.C. patrons and libraries have been developed and are available from the Facility (November 1, 1985.)

THE UNIVERSITY OF MICHIGAN
UNIVERSITY LIBRARY

SC - A97
April 24, 1987

STAFF CIRCULAR No. A97

SUBJECT: Buhr Shelving Facility

The Buhr building, located at 200 Hill Street, houses the following University Library units: Conservation/Book Repair, Bindery Preparation, Preservation Microfilming, and the Buhr Shelving Facility. This Staff Circular outlines the policies governing use of the Shelving Facility as well as the general administration of those parts of the building occupied by Library units.

General Purpose and Design of the Building

The Buhr Shelving Facility was designed to meet the needs of the University Library as a closed stack, environmentally controlled facility. It is equipped with multi-tiered shelving. Materials are organized by size in a high density arrangement. Local fire and safety regulations prohibit general public access to stack areas. Therefore, the bookstacks are closed to the public. Materials are retrieved and reshelfed by University Library staff members.

The University Library is responsible for staffing and managing the Buhr Shelving Facility. In order to insure the effective operation of the facility, all collections shelved at Buhr will be managed by University Library policies and procedures governing the transfer, housing, retrieval, and circulation of materials. Buhr is intended to accommodate cataloged or easily retrievable library materials. The facility may be used by units of the University Library system and other University-supported libraries. Application for the placing of materials in Buhr should be made through the Buhr Coordinator.

Materials are placed at Buhr primarily for reasons of inadequate shelf space in the owning library. Library materials shelved at Buhr have been carefully selected for a variety of reasons. For example, there are titles: 1) with low recorded use; 2) with special formats requiring protection (loose plates, miniature books, non-standard bindings, etc.); and 3) of unusual value. Since it is difficult to predict trends of teaching and scholarship, should a title or group of titles assume renewed importance, they will be returned to a campus library for more ready access. Readers should contact the head of the owning library when requesting that an item be returned to its shelves.

Administrative Responsibilities

The Buhr Coordinator will have administrative responsibility for the Shelving Facility and the reading room. The Coordinator will survey University Library units annually to assess their need to transfer materials to Buhr and will develop a schedule and budget as a component of the annual planning process.

The Coordinator will be responsible for maintaining an inventory of the current uses of the building, for monitoring special agreements covering non-processed materials, and for maintaining contact with the owners of any temporarily stored collections concerning the conditions of storage.

Safety, Security, Environmental Control

The Buhr Coordinator will have responsibility for the safety and security of personnel, collections, equipment, and physical plant of all library units located in the Buhr building. The Coordinator will also be responsible for communicating with non-library units such as Safety, Plant, Grounds, and other University offices within the Buhr complex. The Coordinator may delegate these responsibilities as appropriate to the Buhr Stacks Supervisor.

The Buhr bookstacks are climate controlled to provide optimal conditions of temperature and humidity. Problems related to the internal environment, including those related to air handling equipment and water leakage, should be reported at once to the Buhr Stacks Supervisor. The Supervisor is responsible for monitoring the environment through the use of hygrothermographs and requesting any required maintenance from the appropriate Plant Department offices. The Supervisor will communicate these and any other problems and/or emergencies to the Buhr Coordinator or other appropriate Library personnel.

Policies and Procedures for Transfer of Materials to Buhr

All requests to transfer materials to Buhr must be made through the Buhr Coordinator. The Buhr Coordinator will be responsible for maintaining a current set of instructions, rates for processing, and procedures for transferring materials to Buhr.

Because of the diversity of collections and environments represented by libraries at the University, no single set of criteria can be developed for the selection of materials to Buhr. Each unit will be responsible for its selection guidelines and for developing measures to insure close consultation with faculty.

Although the purpose of the Buhr Shelving Facility is to provide shelving space for cataloged materials, uncataloged items may be temporarily accommodated as space permits. However, in order to maintain the integrity of Buhr's design and purpose, restrictions must be placed on the use of the Shelving Facility as a holding area for uncataloged, gift, or large transfer collections. Requests for temporary use of Buhr for such purposes should be

directed to the Buhr Coordinator and should contain information pertaining to space required, anticipated duration of storage needs, and type of access for retrieval required.

The Buhr Coordinator will evaluate requests for temporary use of shelving space based on both the amount of unused shelving currently available and the estimated time that the space would be used. The Buhr Coordinator will recommend a time frame for the temporary storage and will also indicate what degree of access can be reasonably provided. Problematic cases will be referred to the Deputy Director of the University Library for resolution. Units receiving permission to store materials temporarily at Buhr are expected to conform to the agreed upon time constraints and process the materials or relocate them within the agreed upon time limits.

The bookstacks at Buhr should not be used for miscellaneous, non-collection storage needs except under extraordinary circumstances.

Circulation of Materials

Materials shelved at Buhr will be delivered to a library for use when requested by a patron or a library unit. Materials may also be consulted in the Buhr Reading Room or borrowed directly should a patron choose to visit the facility. Materials located at Buhr may also be requested through the 747-FAST service.

Materials shelved at Buhr may be given one of three circulation statuses: circulating, building-use, and non-circulating. Unless otherwise noted, all materials will be assumed to be circulating. The building-use category will indicate that the item may be used at Buhr or in-house at any library. Non-circulating materials must be used at Buhr; they will not be shipped to any other location. It is the responsibility of the owning library to designate the circulation status of materials when they are placed in Buhr. Circulation policies prohibit restriction of circulation to specific user groups or a specific library.

For items shelved at Buhr which have not had a circulation status assigned by the owning library, Buhr staff will apply general guidelines for circulation. For example, books with pre-1800 imprints, with loose or detached bindings, or with detached pages, broken sewing, or loose signatures will be given an in-building use status. Books with brittle paper judged to be in a state of disintegration will be given a non-circulating status.

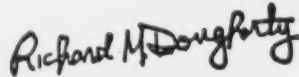
To borrow materials, patrons should present either their barcoded student ID or library borrower's badge. Patrons are not registered, nor are ID barcodes assigned at Buhr. Readers will be asked to present some form of identification to use materials in the reading room.

The Reading Room

The reading room is accessible from the Hill Street entrance to the Buhr building. Hours will be listed with those of all other library units. Patrons may visit Buhr anytime during its open hours; no prior arrangements

are necessary. The reading room is equipped for shelving so that materials, particularly large sets, can be brought from the stacks and held for extended periods of use.

Readers should verify a title's location at Buhr through the Library's online system or the card catalogs maintained at individual libraries. There is no public catalog at Buhr. A shelflist is maintained in the Buhr workroom which relates a call number to a fixed location in the stacks.



Richard M. Dougherty
Director



OMS

Systems and Procedures Exchange Center

BUDGET AND PLANNING

Need for Temporary Surge Space for the Library

Executive Summary

The library has run out of space to house bound volumes. The collections of the Sciences Libraries have been out of space for years, and this year (1988/89) the Rivera Library has now reached its capacity. Reader space has declined to accommodating only 8% of the student body, a capacity seriously below the national standard of 25%. Furthermore, space for staff is already seriously deficient, and new staff must be hired to meet the needs of an increasing number of new students and faculty.

Additional library space is needed right now, but current planning only considers the following possibilities for additional space:

1. The Printing and Reprographics Department will move from the basement of Library South to a new location in April of 1989, freeing up approximately 4,000 assignable square feet (asf) which can house 80,000 volumes or the number of volumes added in about a year and a half. Therefore, in 1990/91, additional space will be need to house the library's growing collections.
2. In 1992/93, the renovation of the old Citrus Experiment Station should be completed, and some, but not all of the occupants of Library South can be relocated.
3. In 1994/95 an Engineering Building should be completed, and while it is possible that space for a Physical Sciences/Engineering Library will be included in this building, it will not provide new space for the Rivera Library, although it could free up some stack space on the fourth floor which now houses physical sciences materials.
4. In 1995/96, the Humanities II Building should be completed and by that time, the remaining occupants of Library South will probably have been relocated. The Library's space needs, however, will have increased well beyond the 44,000 asf available in Library South.

Given these factors, unless Library South is vacated sooner, or new library construction is given a higher priority in the campus space plan, it will be necessary to rent space to house bound volumes by 1990/91, and reader space will become increasing deficient as the enrollment continues to grow. On the basis of the analysis presented in this paper, it will be seen that the costs are high and the long-term benefits are questionable for surge space, even as a temporary expedient. Unfortunately, the quality of library service will also suffer.

Introduction

In the UCR Library Space Plan it was stated that the Library would be out of stack space to house bound volumes during the 1988/89 academic year. This problem has been compounded by the fact the Library's rate of growth has been exceeding past projections, primarily as the result of gifts and grant-supported processing of backlogs. The situation has become critical. The Sciences Libraries have long been out of stack space and have been storing materials in the Rivera Library. The collections have become so crowded in parts of the Rivera Library that new materials can not be shelved without constant shifting of the collection. Additional space for housing materials is desperately needed in the near term.

It now appears that the only new space that the Library can anticipate receiving before the mid- to late-1990s will be areas in Library South as current occupants in this space are relocated. The library's space plan anticipated that the Printing and Reprographics Department would move from the basement of Library South during fiscal year 1987/88, and free up approximately 4,000 assignable square feet (asf) which could be used for stack space. As of this date (December, 1988), space in which to house P & R has been found and should be available in April of 1989. The approximately 4,000 asf now occupied by P & R, however, would only accommodate the growth of the collection for about a year and a half instead of the three years projected in the space plan, because the available space is less, and the growth rate of the collection is greater, than projected. Therefore, even if this space is vacated in the near future and converted to into a high-density shelving area to house around 80,000 volumes, additional space will be needed for the library's growing collections during 1990/91.

The first construction on campus which will provide space to relocate some (but not all) of the occupants of Library South will not be completed until 1992/93, when the old Citrus Experiment Station will be renovated. After this, the next new construction will be the Engineering building, which should be completed in 1994/95, and while it is possible that space for a Physical Sciences/Engineering Library will be included in this building, it will not provide new space for the Rivera Library (although it could free up some stack space on the fourth floor which now houses physical sciences and mathematics materials).

When the Humanities II building is completed in 1995/96, all of the occupants in Library South will probably be relocated, but by that time, the library's space needs will have increased well beyond the 44,000 asf available in Library South. It will be necessary to have new library space constructed and available by the mid-1990s, or the need for temporary surge space will continue until the late-1990s and beyond.

In the meantime, because the enrollment growth has exceeded past projections, the amount of reader space available to students is egregiously low. The national standard recommends that 25% of the

student body be provided reader space in a university library. Today, only 8% of the student body at UCR can find reader space in the libraries, and in the Physical Sciences Library, only 4% of the physical sciences students can sit down at any one time. Except for a small project that is currently being pursued, it is no longer possible to convert reader space into additional stack space.

For these reasons, temporary surge space must be found in the very near future to house books for the library. The purpose of this paper is to describe the kind of space needed and to determine what it would cost.

Requirements for Temporary Stack Space

As was discussed in the UCR Library Space Plan, library collections can not be stored in just any space. The following factors must be taken into consideration in selecting a site for housing them:

1. Weight of Library Materials. Unlike office or classroom buildings which are designed to hold a live load of from 40-60 pounds per square foot, libraries must be designed to carry a live load of 125 pounds per square foot (300 pounds per square foot for compact shelving). For this reason, library buildings are considerably more expensive to construct, and adequate storage space for book collections is usually only found on the ground floor of buildings not designed as libraries.

2. Condition of the Building. Because there are many insects and other pests which feed on printed materials, the building selected to house books should be in good condition and free from pest infestation. The roof should be sound, and the location on high ground to minimize the possibility of water damage to the collection.

3. Heating, Ventilation, and Air Conditioning. (HVAC) The deterioration of paper is accelerated by high temperature and humidity. Scientists at the Library of Congress have recommended that libraries: (1) maintain a temperature of 68-75 degrees Fahrenheit; (2) keep the humidity between 40-50%; (3) keep the change in temperature and relative humidity to less than 10 degrees and 15% respectively, and (4) install effective air filters to eliminate pollutants which have a deleterious affect on paper products. Given the wide range of temperature, humidity, and air pollution experienced in Riverside, the building selected to house collections even temporarily should have an adequate HVAC system to meet the specified requirements.

ocks to prevent theft and vandalism. An alarm system would be desirable.

5. Utilities. Adequate lighting should be provided so that materials may be identified and located. Sound plumbing is particularly important to avoid water damage to materials.

6. Seismic Considerations. The building should be rated seismically safe and book stacks should be seismically braced to prevent stacks from collapsing and throwing off books in the event of an earthquake.

7. Fire Suppression. Depending on the location and type of building utilized, the Fire Marshall may require that fire detection and wet-pipe sprinkler systems be installed.

Operational Problems

Placing parts of the library's collections in a separate or remote site will create a variety of problems for library users, which were summarize in the library's space plan as follows:

1. The collection will become further fragmented making access to library materials increasingly complex.
2. If the materials are shelved at the highest possible density in the remote site, browsing those materials will become very difficult, if not impossible.
3. If the site is off campus and not open to the public, the materials shelved there would have to be paged, making for a delay in getting these items.

There are also a number of operational problems a remote site creates for the library, including the following:

1. Funds for renting the space would have to be provided.
2. A means for selecting items to be shelved in a remote area needs to be devised, and funds for selecting and moving materials to the site will have to be provided.
3. Staffing to service the remote site would have to be provided.
4. A vehicle and driver would have to be provided to move materials to and from the remote site.

While these problems present a strong argument against housing library materials in a site outside of the library, unless additional space becomes available in Library South by 1991, it will be necessary to acquire surge space to house materials temporarily, until proper library space can be provided.

Options and Costs for Temporary Surge Space

There are basically two options that may be considered in acquiring temporary surge space to house library materials: 1) a closed-stack, unmanned storage facility and, and 2) an open-stack library facility. It should be pointed out that a third option, a compact shelving facility was considered, but discarded as being infeasible. Compact shelving is very expensive. Current estimates range from \$75 to \$135 per asf, depending on the type of system utilized. Since this cost is so much greater than the cost of renting space, it is actually cheaper to use standard library shelving and pay the additional rent for more space. Furthermore, by installing standard shelving very tightly, as is discussed below, 20 volumes/asf may be stored which is fairly close to the 25 volumes/asf which compact shelving provides. And finally, standard library stack may be relocated from the temporary storage facility to any location in new library space when it becomes available, whereas compact shelving could only be relocated to a basement area. For all of these reasons, a compact shelving facility did not turn out to be a viable option.

In discussing the two options for surge space, there are several planning assumptions which must be understood.

First, it is assumed that the space presently occupied by P & R in Library South will be filled to capacity by the end of fiscal year 1990/91. It is also assumed that other existing campus space will not be available to house library materials temporarily. Therefore,, rental space will have to be found off campus.

Second, the current costs for warehouse space that is air conditioned in the Riverside area is \$0.45 a square foot a month. Space which provides the other requirements listed above under Requirements for Temporary Stack Space, however, could run from \$0.65 to \$0.85 asf/month, so for purposes of option two the cost will be projected at \$0.75 asf/month. In projecting the cost for annual space needs, it should be kept in mind that it may not be possible to rent only the amount of space needed each year. It may, in fact, be necessary to rent more space at any one time than is actually needed because of the configuration of the space available for rental. Therefore, the actual rental costs may be greater than projected.

Third, the growth rate of the library's collections in the year 1991/92 and after is difficult to project, since the campus is anticipating major growth in enrollment and academic programs which will necessitate an increase in the rate of acquisition of library materials to support them. The report of the Subcommittee on the

Library of the Task Force for Campus Planning projected that if the enrollment increases to 22,000 students by 2005/06, the library's collection should reach about 2,850,000 volumes at that time. If this projection is used, the growth rate between 1991/92 and 1995/96 will average around 72,000 volumes/year, which for planning purposes, is probably a reasonable estimate.

If standard library shelving is used and arranged as tightly as possible, 20 volumes/asf could be shelved, so that in the closed-stack option the annual need for library space can be projected at 3,600 asf/year ($72,000/20$).

In the open-stack option, the annual need for library space would be considerably more, because only 12.5 volumes/asf can be shelved in an open-stack arrangement. Therefore \$,760 asf/year will be necessary for this option ($72,000/12.5$).

Fourth, materials will have to be selected, gathered, and moved to the remote site, and this processing could cost as much as a \$1.00 a volume.

Fifth, the cost for utilities and maintenance is projected at \$6.07/asf/year, the rate used by the state.

Sixth, the cost for constructing a reading room within the space is projected at \$20.00/asf, which would be a one-time cost in option two. This cost, however, is not tabulated since it should be negotiated in the rental contract as an improvement provided by the owner.

Seventh, the cost for a security patrol service is around \$125/month, or \$1,500/year.

Eighth, benefits are calculated at the rate of 30% of the salary.

Ninth, all costs used in making these projections will be in 1988/89 dollars.

On the basis of these assumptions, it is possible to project the costs for both options.

Option 1: Close-stack, Unmanned Storage Facility.

This option would be the least expensive in the long run, but it provides the lowest level of service. The remote site would not be open to patrons, standard library shelving would be tightly installed, and materials would only be available through delayed paging, perhaps several times a day.

For this option the following costs may be calculated:

- 1) Rent. Rent may be calculated by multiplying the asf needed per year (3,600) times the rental cost per asf/month (\$0.45), times 12 which would be \$19,440/year.

2) Shelving. The cost of double-faced shelving is approximately \$400 per section installed and seismically braced. Each section could hold 250 volumes, so that for 72,000 volumes, 288 sections would be needed at a total cost of \$115,200/year ($72,000/250 \times 400$).

3) Maintenance and Utilities. At \$6.07/asf/year, the annual cost for maintenance and utilities would be \$21,852 for the first year ($3,600 \times \$6.07$).

4) Security. The annual cost for a security patrol service is \$1,500.

5) Processing the Volumes. Cost of selecting and moving the volumes to the remote site is \$1.00 times the number of volumes (72,000), or \$72,000/year.

6) Vehicle. The cost of renting a vehicle for purposes of taking materials to and from the remote site is \$3,100 year.

7) Staff. An automotive-equipment operator would be hired to drive the vehicle and page the requested items at an annual salary of \$17,644 plus benefits of \$5,293 ($\$17,644 \times 30\%$).

Using these costs it is possible to make the following five-year projection:

	1991/92	1992/93	1993/94	1994/95	1995/96
Space (asf)	(3,600)	(7,200)	(10,800)	(14,400)	(18,000)
Rent	19,440	38,880	58,320	77,760	97,200
Shelving	115,200	115,200	115,200	115,200	115,200
Maintenance & Utilities	21,852	43,704	65,556	87,408	109,260
Security	1,500	1,500	1,500	1,500	1,500
Processing	72,000	72,000	72,000	72,000	72,000
Vehicle	3,100	3,100	3,100	3,100	3,100
Staff (1 FTE)	22,937	22,937	22,937	22,937	22,937
Total:	256,029	297,321	338,613	379,905	421,197

Option 2: Open-stack Library Facility.

This option would be the more convenient for users because they would be able to go to the facility and browse the materials in an open-stack arrangement. The site would be staffed, so that a driver and vehicle are not required in this option. Public facilities would be provided for patrons and staff, such as a reading room, drinking fountains, restrooms, telephones, and a photocopier. At least 500 asf would be necessary for the public area.

For this option, the following costs may be calculated:

1. Rent. In this option, the density of shelving would be 12.5 volumes/asf, so that 5,760 asf would be required for materials ($72,000/12.5$), and 500 asf would be need for the public area. The first year's rent would be \$56,340 ($6,260 \times \$0.75 \times 12$) and each year there after the rent would be \$51,840 ($5,760 \times \$0.75 \times 12$).

2. Shelving. The same amount of shelving would be needed for this option as in option one, i.e., 288 sections at \$400 each, for a total of \$115,200/year.

3. Maintenance and Utilities. Maintenance and Utilities for the first year would cost \$37,998 ($6,260 \times \$6.07$) and an additional \$34,963 each year thereafter.

4. Security and Processing. These costs would be the same as in option one, i.e., \$1,500/year for security and \$72,000/year for processing.

5. Staff. If the facility were opened 9:00 to 5:00 p.m., Monday through Friday, a full-time Library Assistant II (\$16,416) and 60 hours of student assistance (\$14,102) would be required, for a total of \$30,518 in salaries, plus benefits of \$9,155.

6. Telephone. Three telephone lines would be installed: 1) for voice, 2) for CLSI, and 3) for a telefacsimile machine. Installation costs of \$100 per line are projected for the first year, charges of \$500/line are projected.

7. Furniture & Equipment. It is estimated that \$25,000 would be needed the first year for a service desk, work desk, chairs, tables, a photocopier, a remote CLSI terminal, etc., and the second year an \$5,000 is budgeted for additional tables and chairs. As the collection grows, more people will come to the facility.

8. Supplies & Expenses. A modest budget of \$500 a year is projected for miscellaneous supplies.

Given these needs, the following five-year projection can be made for the costs for this option.

	1991/92	1992/93	1993/94	1994/95	1995/96
Space (asf)	(6,260)	(12,020)	(17,780)	(23,540)	(29,300)
Rent	56,340	108,180	160,020	211,860	263,700
Shelving	115,200	115,200	115,200	115,200	115,200
Utilities	37,998	72,961	107,924	142,887	177,850
Security	1,500	1,500	1,500	1,500	1,500
Processing	72,000	72,000	72,000	72,000	72,000
Staff (1.5 FTE)	39,673	39,673	39,673	39,673	39,673
Telephone	1,800	1,500	1,500	1,500	1,500
Furniture & Equipment	25,000	5,000	0	0	0
Supplies & Expenses	500	500	500	500	500
Total:	350,011	416,514	498,137	585,120	671,923

Conclusion

Unless the current plans for the relocation of occupants of Library South are accelerated, and unless the plans for new construction on the campus are changed to include library space sooner, it will be necessary to provide temporary surge space for library collections from at least the end of 1990/91 until 1995/96 and possibly longer. This surge space will have to be increased each year to accommodate the growth in collections. Two options for surge space have been investigated and described above. Each of the options will provide sub-standard service to faculty and students, by fragmenting the collection and making access to the volumes in the surge space slower and more difficult. The total costs for the options for five years are shown below:

Five-year Summary of Options

Option	volumes housed	total asf	total cost
1. Closed-stack	360,000	18,000	\$1,695,065
2. Open-stack	360,000	29,300	\$2,521,885

The costs for rent in both options would be temporary annual expenditures which have no long-term benefits. It would be a significant drain on campus resources for temporary space, when resources for expansion will be in high demand.

While temporary surge space is expensive and not in the best interests of the campus, the library, or the patron, it is an unavoidable necessity, unless new library space is provided more quickly than currently planned. Without surge space, the library will be unable to meet the needs of the campus in an era when growth and expansion will be the most remarkable in its history.

HARVARD DEPOSITORY



PRICE & SERVICES SUMMARY

BASIC PLAN

Storage Charge - \$2.40/BSF*¹/YEAR

Accession Charge:

- a. Bulk Move (Depository dock to shelf) - \$.50/BSF (\$.48/cu.ft.)
- b. Program Move (customer dock to shelf) - \$.85/BSF (\$1.49/cu.ft.)

Retrieval/Refile Charge:

- a. Retrieval - \$1.10/trans
- b. Refile - \$1.10/trans

NOTE: Retrievals & Refiles are subject to a minimum charge of \$3.30/transaction

Courier Charge (up to 4 CUFT):

- a. Daily (Billed Daily) - \$15
- b. Weekly (Billed Weekly) - \$25
- c. Upon Request - \$40
- d. Emergency (8:30 AM to 4 PM, M-F) - \$75; After Hours - \$100
- e. Excess of 4 CUFT (Each direction) = \$1.00/CUFT

Administrative Charge - \$15/hr
(at Customer request)

ONE PRICE PLAN

This Price Plan is available to carton (records management cartons) customers only, with storage needs under 1,000 cartons (approx. 2,000 BSF).

Annual Charge - \$3.50/BSF/YEAR

This rate includes:

- a. Bar codes
- b. Accession charge & pickup (customer dock to shelf)
- c. Storage
- d. Unlimited retrievals
- e. Unlimited refiles
- f. Courier service (upon request)

This rate does not include emergency service, administrative services, or cartons.

- * BSF: Billable Storage Foot is a measure unique to the Harvard Depository. It represents a cubic dimension of 12" H x 12" W x 9" D.

Annex Budget Allocation

The Annex provides storage for library materials for the several Heard Library divisions. Space not required for library materials storage is rented to other units of the university. Charges for storage of different types are based on the costs of those particular types of storage and on comparable prices for similar types of storage elsewhere.

The financing of the Annex purchase and renovation, and the initial occupancy of the building by significant numbers of library materials required a deficit in the initial years of the project. As the Annex moves toward fuller capacity, a surplus is expected to be generated to replenish the reserves and to roughly break even over the life of the financing. 1990/91 is the last year in which revenues are expected to be insufficient to cover costs; the expected shortfall is roughly equal to the expected moving costs for the year; we propose that the shortfall be covered by funds from the Reassessment account. Most of the moves will be completed by July 1991, and storage revenue should then be adequate to cover operations and debt service costs.

Storage Prices

Some 17,478 square feet of bare floor space are available for storage. Initial square foot charges for this type of storage were calculated to be \$5 per year for the small separate building which has no climate control and \$6 per year for storage in the main building. For the 1990/91 fiscal year these prices will be increased to \$5.20 and \$6.24 respectively, a 4% increase in line with increases in the university's plant charge. At the present time, some 10,584 square feet are occupied.

Fixed industrial-type shelving occupies a portion of the first floor; it is designed for box storage. It is priced to compare favorably with file cabinet storage in offices. The current price charged is \$6.50 per box; it will be increased to \$6.76 per box for the 1990/91 fiscal year. With a capacity of 6768 boxes, only 2616 boxes are currently being stored. This shelving is also used as a staging area for materials being added to compact shelving from the libraries.

Initially, the compact shelving was expected to house some 300,000 volumes; pricing was set at \$.67 per volume. In practice, a per volume charge is difficult to calculate, since volume counts cannot easily be done. Charges have been recalculated to correspond to the number of shelves being used for storage of each library's materials. Since the collections are shelved separately, this is a measure easily derived. The charge per shelf established for 1990/91 is \$15.58. If a count of 25 volumes per shelf was assumed, the per volume charge would be \$.623. The \$15.58 per shelf figure allows the Annex budget to reach a break-even status this year when the current year's exceptional moving costs are not considered.

Allocations

The attached table shows the effects of applying the storage charges to materials currently housed in the Annex or expected to be housed there by the end of next fiscal year. A significant portion of the total support, 23%, comes from non-library sources. It is box and floor storage which has the lowest occupancy rate, and we anticipate a marketing campaign for next year which will increase the utilization rate for these kinds of storage. Library units contribute to storage revenues in the following proportions--Central/Science 60%, Special Collections 8%, GTS 5%, Education 2%, and Divinity 1%.

Library Annex Budget

1990/91

26-Mar-90

	1989/90 Approved	1990/91 Proposed	%
Salaries and benefits	\$61,371	\$65,107	6%
Supplies and expense	\$48,800	\$48,800	
Equipment	\$1,500		-100%
Students	\$2,000	\$2,000	
Total direct	\$113,671	\$115,907	2%
Debt service	\$80,015	\$144,075	80%
Space maintenance	\$32,810	\$34,431	9%
Replacement reserve	\$14,000	\$14,467	3%
Utilities	\$10,000	\$22,000	120%
Insurance	\$5,079	\$5,587	10%
Total Indirect	\$141,904	\$220,560	55%
TOTAL	\$255,575	\$336,467	32%

Annex Storage Allocation

1990/91

Division/ Department	Shelves	Cost \$15.58/shelf	Boxes	Cost @ \$6.76/box	Sq.ft.	Cost @ \$6.24/sq.ft.*	Total Charge 1990/91
Central	8,240	\$128,379			97	\$605	\$128,984
Science	2,703	\$42,113			38	\$237	\$42,350
Sigaux	123	\$1,916					\$1,916
Central/Science	11,066	\$172,408			135	\$842	\$173,251
Divinity	273	\$4,253					\$4,253
Education	222	\$3,459			200	\$1,248	\$4,707
GTS	938	\$14,614			138	\$861	\$15,475
Law					37	\$231	\$231
Management							
Medical							
Music	35	\$545					\$545
Special Collections	200	\$3,116	2,700	\$18,252	207	\$1,292	\$22,660
TV News					18	\$112	\$112
Total	12,734	\$198,396	2,700	\$18,252	735	\$4,586	\$221,234
Arts & Sciences					3,000	\$15,600	\$15,600
Bookstore					380	\$2,371	\$2,371
Computer Center					300	\$1,872	\$1,872
Kadar/Sarratt					100	\$624	\$624
Law					20	\$125	\$125
Medical					384	\$2,396	\$2,396
Owen					13	\$81	\$81
Plant Operations					4,603	\$34,431	\$34,431
Telecommunications					968	\$6,040	\$6,040
Other			300	\$1,950			\$1,950
Total			300	\$1,950	9,768	\$63,541	\$65,491
Grand Total	12,734	\$198,396	3,000	\$20,202	10,503	\$68,127	\$286,725
Capacity	15,218		6,768		17,478		
Occupancy	0.84		0.44		0.60		

*\$5.20/sq ft for
small building (A&S)

Report II

**Planning for the University Libraries'
Long-Term Space Requirements**

Space Task Force

Glenn McMullen
Paul Metz, chair
Marilyn Norstedt
Robert Pillow
Linda Srygley
Roger Stelk

June 1990

Executive Summary

Executive summary goes here, if needed.

Nearly everyone agrees that the most accessible, convenient, and pleasant means of storing library collections is in conventional library space where open stacks are surrounded by study areas. In a world without economic constraints, our task force would not have been appointed because the means of accommodating growing library collections would so clearly be to build new libraries or to expand old ones.

Because ours is a world of economic limitation, such a recommendation is not within the range of options suggested to our task force. Simple arithmetic shows why this was so. Conventional library shelving houses at most about 12 volumes per square foot. Conventional library space costs \$120 per square foot at the very least. Multiplying by the \$10 per volume these statements yield, we can see that the Virginia Tech Libraries would require at least \$500,000 of new space annually to house the 50,000 volumes by which their collections grow.

Considerably more cost-effective ways are now available for storing book materials. The two main alternatives currently in use are compact shelving with movable aisles and automatic storage and retrieval systems (AS/RS).

With compact shelving, books are shelved to a maximum (100 percent) shelf load and shelf heights are adjusted to optimize the use of vertical space. Horizontal (or floor) space is optimized by the use of movable aisles, which may be operated either manually or by machine. Compact shelving can accommodate approximately 40 volumes per square foot, for a density of between three and four times that of conventional shelving.

Automatic storage and retrieval system techniques derive from recent industrial advances designed to store materials in more secure, environmentally sound, and compact space and to minimize labor costs. AS/RS technologies integrate computerized control with machine retrieval of materials stored in bins which are themselves stored on long racks or ranges. When a book is requested, the operator identifies its bin location from the computer data base and initiates the retrieval of the appropriate bin. The operator then removes the book from the bin. This process typically takes two minutes, as does the reverse process of returning materials to storage.

The comparison among conventional library shelving, compact storage, and AS/RS techniques is one of descending convenience, but also of steeply descending costs. Both compact storage and AS/RS require that collections be divided so that areas not susceptible to continuous growth can be identified for storage. Thus the total collection must immediately be divided into active and no-growth partitions. In addition, compact shelving frustrates browsing by introducing the physical act of moving aisles and limiting the number of aisles accessible at one time to one per 10 to 20 ranges of shelving. AS/RS techniques, with their reliance on storage by size, completely defeat browsing.

Both the capital and the recurring costs of the three kinds of shelving decline markedly as we move along the gradient of decreasing convenience. In each case, the ratio of unit costs among the three technologies is approximately 4 : 1.5 : 1. Tables 1 and 2 show these costs, as estimated by John Kountz of California State University, Long Beach.

Table 1.
Fixed Costs of Storage Alternatives.
Per Book

	Conventional Book Stack	Compact (Moving Book Stack	Aisle) AS/RS
Cost/sq. foot	\$111.90	\$175.00	\$375.00
Books/sq. foot	10	40	140
Cost/book	\$ 11.19	\$ 4.38	\$ 2.68

Table 2.
Recurring Costs

	AC & Light	Janitor	Rshlv Oper.	Power	Equip Maint.	Total	Unit
Open stack	63,000	81,420	24,000			\$168,420	\$.281
Compact	10,500	13,570	24,000	2,700	3,000	\$ 53,770	\$.090
AS/RS	863	1,115	27,170	7,642	4,000	40,790	.068

Notes: Based on storage of 600,000 volumes. AC/Lights=\$1.05/sq. ft/year
Janitor=\$1.375/sq ft/year; Reshelve/Operate=\$8.00/hour.

A recent planning study for a storage building at the University of Virginia used cost estimates which are roughly comparable with Kountz's figures. The UVA study calls for a building of 11,868 square feet (10,575 assignable) housing 1.6 million volumes and costing \$2.6 milion. These costs reflect assumptions of about 150 volumes per square foot,

which essentially agrees with Kountz's estimate of 140 volumes. But whereas Kountz projects construction costs of \$375 per square foot, the UVA estimate is closer to \$250. We can only speculate that the UVA construction estimates are one-third lower than Kountz's because of prior ownership of the land, economies of scale, or the difference between construction costs in California and Virginia.

A recent study by Michael Cooper supplements and supports Kountz's arguments. Cooper's estimates for the cost of conventional library space fall in a range of \$12.72 to \$19.12, somewhat higher than Kountz's estimates. Cooper also states that the incremental costs of converting conventional library space to compact shelving is only about \$1.90 per volume, provided that the space in question is already on grade or can otherwise support the required load of 300 pounds per square foot.

Intangible Costs of Remote Storage

While all economic criteria favor the use of AS/RS techniques as a first choice and compact shelving as a second choice, more subjective criteria support other preferences. The intangible costs of storage can be very high, and must be fully explored if intelligent choices are to be made leading to an appropriate mixture of techniques for housing library materials.

If we assume that conventional library shelving would provide wall space for carrels and other seating, the first intangible cost of a storage facility is the foregone opportunity to add seating. For the 18 SREB libraries whose space and seating data were mentioned in our first report, the median percentage of student body which can be seated in the main library is 8.3 percent. To raise Virginia Tech from its current 5.5 percent level (one of the lowest reported) to the median would require nearly 650 seats. This is an embarrassing deficiency for an institution recently rededicated to improving the quality of student life, one which hinders the accessibility of our collections in many ways both obvious and subtle.

Any discussion of the intangible costs of storing library materials turns very quickly to a discussion of the value of browsing. In the absence of much hard evidence about the value of browsing and the percentage of useful materials found in this manner, anecdotal arguments representing both extremes are easy to find. Some argue that electronic browsing in an online catalog is fully as effective as physical browsing, but this argument ignores the role of browsing in evaluating materials or in using them to redirect a search. Others argue that browsing is indispensable to their research. Yet we know that this is not true for all re-

searchers in all fields, and also that a fully browsable collection is not a long-term option for us.

While our task force lacks the resources to examine the browsing issue empirically, our interpretation of the issue can be summarized in a few key points:

1. Physical browsing is a highly useful way for many patrons to find materials, one for which electronic techniques can provide only a partial substitute.
2. Once collections reach a certain size, the ratio of obsolescent and marginally relevant materials can grow so large that a certain degree of culling may well make the remaining materials more accessible to browsers.
3. The value of browsing varies greatly according to the nature of the material, and this distinction should be borne in mind in designating collections for storage.

A final cost the University Libraries must bear as increasing amounts of material are moved to storage is the cost of record-keeping. These costs are actually tangible, but very difficult to estimate in advance. To date the Libraries have stored journals and very large serial sets almost exclusively. Many of the individual items in these sets do not have their own data base records, and in these cases the only required change in our records is an adjustment to the VTLS Holdings Screen for the title itself.

The mixture of materials currently in the active and stored collections will dictate that future designations to storage come much more heavily from the monographic collections. As of this summer, the serial backsets stored in most fields will already be much more recent than is desirable and there will be no opportunity to extend the stored serial runs for at least another five years.

The obvious point here is that if journals comprise half or less of the library's physical additions, the storage every ten years or another decade's worth of journal additions will still offset less than half of our growth. The consequent necessity to store monographs will mean, in practical terms, that the data entry now undertaken to relocate many feet or even shelves of journals will then be required to relocate an item whose thickness might best be measured in centimeters. Literally hundreds of thousands of items will have to be relocated in the data base, as well as on the shelves. The funding required for these procedures will necessitate specially targeted allocations, as this level of data entry cannot be absorbed as part of routine work flow.

In weighing the intangible costs of frustrated browsing or inadequate seating against tangible financial costs, we should bear in mind that our inability to put dollar figures on these costs does not mean they cannot be very large. If the University Libraries' only goal were to offset the growth of the collection, cheaper alternatives to AS/RS and compact storage could be found--salt mines or incineration would both qualify, for example.

The point of these facetious examples is to remind us that library collections have been purchased and cataloged at great expense to serve the instructional and research mission of the university. The Virginia Tech library collection is the notable resource in our region for preserving and making accessible the cultural and scientific record of humankind. To overlook this basic fact, to be too facile about access or seating simply because they cannot be priced, is to invite serious false economies with a treasure whose value under any means of cost accounting is great.

Recommendations

Despite this year's addition of the last shelving which can be added without displacing library seating, and despite this year's shifts of 40,000 volumes to Cheds, the University Libraries are projected to reach an 80 percent shelf load by early 1993. Our experience over the years has validated the library literature in suggesting that significant patron inconvenience and staff inefficiencies are encountered beyond the 80 percent level, and that such a milestone would be the appropriate point at which to declare that the on-campus library collections had reached a point of zero growth.

To estimate the storage capacity the University Libraries would then need depends on two factors--our annual additions and the time period during which the contemplated storage facility was intended to suffice. Our best estimate of the first of these factors is 50,000 volumes of annual additions for the foreseeable future.

It is for senior administrators, and not this committee, to decide the time frame most appropriate for a new building to be seen as an effective remedy. We can however suggest some guidelines. One is that there will unquestionably be economies of scale in constructing a new facility and that it would be wise economically to get the most advantage out of relatively fixed costs for planning, architectural fees, and site preparation. Politically it seems equally advisable that one maximize the advantage gained by a minimum number of perturbations in the highly intense environment in which academic buildings are planned and allocated.

Both of these considerations suggest the wisdom of a relatively ambitious acquisition of storage space. The Libraries should obviously acquire more storage space than is needed in the short term. How much more space depends in part on the availability of prospective co-tenants. If there are other agencies on campus with pressing space needs who could share storage space until they find their own long-term solutions or until the library's needs require that they vacate, then a larger building makes more sense. This again is not an area where the task force would be knowledgeable, but we have received indications that such needs do exist.

A reasonable capacity for a storage facility would seem to be one million volumes. This would accommodate the approximately 250,000 volumes which will be at Cheds after this summer's growth, plus the 750,000 volumes necessary to offset 15 years' additions to the collections. Since the Libraries will not reach zero growth (90 percent shelf load) until 1992², the fifteen-year horizon would reach until the year 2000.

26

It should be noted that we are not proposing that a full outfitted building be constructed so that portions of it may remain idle for over a decade. The building itself should be constructed as an upfront investment. Additions of AS/RS equipment should be made as best indicated by economies of scale in their purchase and installation and by immediate needs projections. Space not allocated to the University Libraries should be shared on a temporary basis with other tenants, who may or may not require AS/RS equipment for handling their stock.

The most cost-effective means of storage is clearly high density storage using AS/RS technology. The technical requirements of the storage and retrieval machinery used in such a facility, along with the strict environmental controls for temperature, humidity, and air quality virtually necessitate the construction of a new, dedicated facility for storage.

The University of Virginia plan seems to provide a cost conscious, practical, and well thought out means of housing stored collections. It is itself adapted from a facility already in use at Harvard. In brief, the UVA plan calls for a narrow, red, windowless structure with gabled roofs, modestly landscaped with a few trees. Nearly the entire building will be devoted to a book storage room with 35 foot ceilings. The outside materials are brick veneer over CMU walls. The main structural system is precast concrete. The HVAC system is capable of maintaining a temperature of 60 degrees Fahrenheit and 50 percent relative humidity throughout normal seasonal variations.

Of the 10,575 assignable square feet in the UVA plan, 9,417 is to be reserved for materials storage. Prorating according to our desire to store one million volumes, the Virginia Tech building would require approximately 5,900 square feet of assignable space for materials storage. We would require the same 810 square feet the UVA plan devotes to rooms for receiving and charging (270 SF), materials processing (360 SF) and a search-conference room (180 SF). The total space for the Virginia Tech building would then be approximately 6,700 assignable square feet, or something under 7,500 square feet total.

It should be noted that the UVA building is not designed to function in any way as a library. It is intentionally located at a moderate distance from the main flow of campus traffic and contains spartan quarters for one or a few individuals to examine and consult stored materials. The intention is that virtually every use of stored materials will be by remote request and delivery. This utilitarian approach should also govern the design and location of a Virginia Tech facility, as well as the way in which it is presented to the university community.

The UVA preplanning study is attached to this report as an Appendix.

While our task force lacks the basic resources necessary to calculate reliable estimates for a new storage facility, the two documents available to us which are based on informed architectural and design estimates are roughly congruent in the estimates they would suggest for a Virginia Tech building. Using Kountz's estimate of \$2.68 per volume for the direct costs of a high density AS/RS storage facility, it should cost approximately \$2.7 million to house ~~600,000~~ ^{1M} volumes.

A fairly similar estimate can be extracted from the UVA report. We would propose to store five-eighths of the volumes envisioned for the UVA building. Allowing for relatively fixed costs in planning, architecture, and site preparation, for the presence in both buildings of identical rooms for purposes other than storage, for economies of scale in UVA's HVAC system, and for inflation subsequent to the UVA building, we might reasonably suppose that the cost of the Virginia Tech storage building would closely approach that of the UVA structure. If this logic is accepted, an estimate of \$2.4 million seems reasonable. Using these roughly convergent means of estimating then, it seems reasonable to believe that an investment of between \$2.4 and \$2.7 million would be required for our needs. For the remainder of this document we will use a planning figure of \$2.5 million, which corresponds more closely to the UVA projections than to Kountz's.

The availability of a remote storage building would solve a set of problems which, if unresolved, will eventually destroy the ability of the University Libraries to accomplish their mission. A set of disabling, though survivable, space problems would still remain. The most significant of these are clearly inadequate seating and an arguably insufficient capacity for library materials needed on site.

We believe that a limited amount of compact shelving could contribute to the solution of both of these problems, and at a reasonable cost. Compact shelving would simultaneously free floor space for additional seating while somewhat increasing the book capacity of the library (compact shelving could be used exclusively for either purpose, but we would prefer to split the difference and partially solve each problem).

There are substantial categories of little used materials which do not require continuous access by browsing, yet which do not qualify for remote storage. These include multi-volume materials which are poorly indexed or not indexed, such as the British Parliamentary Rolls, various national or other specialized encyclopediae, and sets of laws. Without an index, a patron would have no idea of which volume of such materials to page, so that volumes consigned to storage might as well be have been discarded. Yet the frequency of use of many such materials is such that some inconvenience is a reasonable price to pay for access.

Another major category of materials for which semi-convenient access would be an ideal compromise is serial backsets from moderately outdated decades, especially in poorly indexed fields or fields where browsing is particularly useful. Many journals in history, letters, and other humanities, would fall into these categories. Finally, bibliographies in many areas are ideal candidates for storage. Although many older bibliographies are little consulted, it does not seem reasonable to expect a patron to request a bibliography from remote storage when the use of the bibliography itself is sure to generate a secondary need for further requests.

Both the seating and the storage capacity of the Newman Library would be significantly increased by the construction of 4,000 square feet of compact shelving. This shelving, which should be located where government documents are currently housed, would accommodate at least 150,000 volumes. At Cooper's estimate of \$1.90 per volume, such shelving should cost about \$285,000. A total package which would include a remote storage building, compact shelving as indicated above, and \$100,000 to refurbish seating areas and buy carrels and furniture could be assembled for just under \$2.0 million, according to our figures.

Making Use of a Storage Facility

The obvious question any storage facility raises is what materials will be related to storage and how they will be identified. The 600,000 volumes projected for the Virginia Tech remote storage facility would come from three categories of materials which could be phased in a sequence that allowed for orderly planning and processing.

First Phase--Current Cheds Holdings

After this summer's shifts to Cheds have been accomplished, that facility will hold something close to 250,000 volumes. The great majority of these are serials, many of which have resided at Cheds for 10 to 20⁴⁵ years. Since the University would no longer need Cheds for book storage, it would be in our interest to remove all volumes from Cheds to the new facility. The University could then use Cheds for another purpose or allow the lease to expire, saving over \$50,000 per year.

Second Phase--Little Used Monographs

Despite the onerous record-keeping problems introduced by the storage of monographs, this category of materials is the clear choice for the library's next major storage efforts. The journals in storage are already relatively recent, as we have noted, and further relief cannot be expected from this quarter for some time. Most of the library's bibliographers would agree that the library stacks contain many outdated or partially outdated books whose value, while too great to suggest discarding, is marginal. It is the removal of these materials that might actually enhance browsing of the remaining collections.

The library's ability to store monographs at this time stems from two widely established realities about the use of monographic collections: the concentration of use over a relatively small part of any collection, and the recurrent use of individual titles.

The classic statement of the concentration of book use over individual titles is Richard Trueswell's application of the well known industrial "inventory rule" to library book stock. Truesell's work, which has been validated in a number of settings, is often known by the short hand of the "80/20 Rule," which predicts that 80 percent of use will be come from 20 percent of the collection. At the opposite end of the spectrum from the active 20 percent there is a large component of rarely used or never used materials. The Pittsburgh study suggested that the proportion of never used materials may be as high as 40 percent, though various com-

mentators have pointed to methodological errors exaggerating this, and the percentage of disused stock in other collections has been found to be somewhat lower. Despite these methodological questions, and also despite the observation that the 80/20 distribution is somewhat exaggerated, no one seriously disputes the point that use of library book stock is highly skewed.

Since Fussler and Simon's classic study of book use at the University of Chicago in the late 40's, the research literature on the use of library collections has consistently replicated their finding that the best single predictor of a book's future use is its pattern of past use, specifically the number of years since its most recent circulation. Among institutions comparable to Virginia Tech, this finding has been validated at Northwestern, the University of Massachusetts, the University of Pittsburgh.

Fussler and Simon also concluded that "the recorded circulation use of books is a reasonably reliable index of all use, including the unrecorded, consultative, or browsing use within the library." This finding, though somewhat more controversial, has generally been upheld, notably by the well known Pittsburgh study and by Hindle and Buckland's research at the University of Lancaster Library.

Taken together, the empirical findings about the concentration of book use and about the consistency with which individual books are or are not used suggest that there should be clear opportunities to identify a large fraction of the Virginia Tech monographic collection which receives little use and which is likely to continue to be little used. The question then becomes how we might identify that subset of the collection which receives little use and is therefore the best portion to store.

Fortunately, the VTLS data base has recorded the circulation of individual items for many years. Data are available for all circulations in the history of an item. A separate counter cumulates the "temporary circulation count," which can be set back to zero whenever the library chooses to do so. The temporary circulation count was last rezeroed in August of 1985, so that it now reflects circulation over the past four and a half years.

According to these data, the library collection does not quite adhere to an 80/20 rule. It requires 33 percent of the items eligible to circulate to account for 80 percent of all recorded use, and 26 percent of eligible items to account for use since August of 1985. Some of these items are new, of course, and will soon enjoy their first use, but most are older. Although an 80/20 distribution is not quite achieved,

there is considerable skewing. Half of recent circulations come from a core of 10 percent of eligible items.

Most pertinent to our purpose is the finding that 42 percent of eligible items, or some 336,000 items, have not circulated in the past four years despite their eligibility to do so. These items are the logical place to begin in identifying monographs for remote storage. Following the advice of Ian Douglas of the Swinburne Library in Victoria, Australia, we would propose to compile a listing of noncirculating items from VTLS. Bibliographers and interested faculty could then review these items to identify materials whose content and arrangement suggest that they should be kept available for browsing, despite their infrequent use.

Allowing for some exceptions along these lines and for shrinkage from the collection, it seems reasonable to expect that nearly 300,000 items could be identified for storage by these means. If our experience matches that of the Swinburne Library, the materials removed to storage will suffer about a 30 percent decline in use because of the added inconvenience of remote paging. While this is unfortunate, we can take courage from the finding that even with a third of its collection stored, the Swinburne Library was about to satisfy 99 percent of demand from its active collection.

Third Phase--Serial Backsets

Remembering that the storage facility is projected to accommodate the library's space needs up to about the year 2000, it seems reasonable to project that another wave of serial backsets could be designated for storage some time late in this decade. Since the bibliographers were able to identify about 40,000 volumes for this summer's project without storing materials in science and technology, it seems reasonable to expect that another 50,000 volumes could be identified in eight or nine years. Since long runs of humanities journals spanning many decades were identified in this summer's project, it would be misleading to extrapolate too mechanically from this summer's project and assume that the number of volumes including science would be much beyond 50,000.

The three waves of storage described above would fully account for the 600,000 volume capacity of the new building. The remaining issue would be which materials should be placed in compact shelving in Newman Library. Little used but poorly indexed materials such as state laws, the British Parliamentary Rolls and various large sets of British documents issued over the years by the Irish Press (MLN and Roger help me out) would comprise one category of such materials. Masters theses and doctoral dissertations written at Virginia Tech would furnish another discrete area of the collection

which is sometimes browsed, but which does not receive heavy use. The virtue of such collections is that they fall intact within a given call number range, so that book dummies and other signs could be used in lieu of complete item records. Another such category could include most materials in call letter Z. Most Z's are bibliographies, which satisfy the criteria being little used but not lending themselves well to storage. Other Z's are collections in library and information science, and the decision to store these would demonstrate the library's good faith and willingness to share in the inconvenience of access it is asking the university community to endure.

If plans proceed for a storage facility such as that recommended in this report, it will be important that both planning and budgeting in the University Libraries' technical services department be closely coordinated with the movement to store materials. These units will immediately feel three pressing needs. They will need easier means of recording the location of items and updating locations. We would expect that technical services staff would consult with their colleagues at Harvard and the University of Virginia, and then make recommendations for software enhancements to the online catalog to facilitate these data transactions. Secondly, the library's public services staff will require better data on the use of collections. It may be necessary to track in-house use on a sampling basis. Finally, the new labor-intensive tasks of recording use and relocating materials in the data base, not to mention the added burden of book retrieval now shouldered in most cases by the patrons themselves, will add significant financial requirements which the library cannot be expected to furnish from its current operating budgets.

1201 *****
1201 *****
1201 *****

HASP JOB NO. = 1201 SYSTEM ENTRY TIME = 11.43.26 DATE = MAY 28, 1990
 PURGE 11.43.32 MAY 28, 1990

ULIB0262 74835 VTVM1 PMETZ

JOB ACCOUNTING SUMMARY START TIME ON MAIN = NONE

EXECUTION TIME ON NONE	00.00.00	.00
DISK EXCPS	0	.00
TAPE EXCPS	0	.00
KILOBYTE SECONDS	0	.00

CARD INPUT ON L35.SR1	0	.00
-----------------------	---	-----

CARDS PUNCHED

LINES PRINTED		
LOCAL	582	.84

PLOTTER CHARGES

PRIORITY CHARGES		
STANDARD OUTPUT		.00

SETUPS

TOTAL RUN CHARGES		.84
-------------------	--	-----

CURRENT BALANCE		44.25
-----------------	--	-------



OMS

Systems and Procedures Exchange Center

MATERIALS SELECTION

PROCEDURES FOR SYSTEMATIC COLLECTION MANAGEMENT DECISIONS

COLLECTIONS:

The collections will be examined according to the following LC categories, with those of lesser research importance first:

A
 B-BX(excluding BF)
 C
 D
 E-F
 G-GV (excluding GB and GC)
 HM-HX
 J
 K
 L
 M
 P
 U and V
 Z
 BF
 GB and GC
 H-HD2320
 HD2321-HJ
 Q
 QA
 QB
 QC
 QD
 QE
 QH-QP
 QR
 R
 S
 T
 TA
 TC
 TD
 TE
 TF
 TG
 TH
 TJ
 TK
 TL
 TN
 TP
 TR
 TS
 TT
 TX

(In cooperation with K. Brackney, the Architecture Library may also be examined at the end.)

TYPES OF CATEGORIES:

There are four basic categories that will be dealt with: 1) monograph storage candidates, 2) multiple copies, 3) serial or periodical titles, 3) multiple copies, and 4) those in need of preservation/binding treatment. Since the existing space available in the library for future growth is a pressing concern, the first three categories take precedent over the last. E.g., if an outdated item (whose subject is of little interest) is in poor condition, recommending it for storage will take priority over sending it to the bindery.

Because the Georgia Tech Library has substantial -- and often unique -- holdings in science and technology, it is important that anything considered for any of these categories (with the exclusion of the multiple copies) be searched against OCLC (or any other pertinent national bibliographic sources) to determine the value of the item within Georgia and the Southeast. This is especially true for those things that may be eventually recommended for withdrawal.

Lists will be compiled of the items in Categories 1, 2, and 3 after each LC area is finished and will be discussed at the Selection Committee, and by other appropriate librarians in Reference, GTIS, Administration, etc. before any recommendations become final decisions.

Since there may not be funds readily available for preservation/binding treatment, an estimate number of volumes and their cost should be tabulated at the completion of each LC area. As staffing and funds are available, these materials will be systematically be handled.

CRITERIA FOR THE INITIAL REVIEW, BY CATEGORY

1. Monograph storage candidates

All items published in the last 10 years should not be examined since it is assumed that they are of current interest. Anything published earlier than 1980 should be looked at and the following information noted on the sheet:

Subject area: a few keywords if not obvious from the title

Textbook: Indicate Y or N

Indicate editions on the shelf

Use/Circulation: Last 10 years

Last 20 years

Earlier than 20 years or no indication of use

Gift: Indicate Y or N (will be written on the verso)

Date of publication: Up to 1925

1925- 1950

1951- 1960

1961-present

Non-English language: Indicate Y or N

Analyzing the following data (and allowing for a dose of subjectivity), make a preliminary recommendation:

_____ Leave as is

_____ Definitely recommend for storage (permanent)

_____ Uncertain (temporary storage candidate)

_____ Withdraw

Notes: The condition of the material should not factor into this analysis except that the "leave as is" should have the bindery section (#4) filled out.

Circulation use is going to be difficult to determine for the last 10 years. The last dates stamped occurred in 1982 before Sirsi was implemented. Slips may or may not be in the back of the book. Does it look like the book has been used?

Monographic sets should not be broken up between storage and stacks candidates; either leave as is or indicate the entire run for storage. This applies to multi-volume sets, also.

2. Multiple copies

Regardless of imprint date, all multiple copies should be examined. Use the criteria above for the first copy to determine if it should stay in the stacks or go to storage. Given our space considerations, all other copies should be considered for withdrawal unless obvious use is apparent.

Copy 1: Leave as is (fill out #1 above)
Storage (fill out #1 above)
Other _____

Copy 2: Leave as is
Withdraw
Other _____

Others:

It may be useful to check the shelflist and the Circulation system if discrepancies occur.

3. Serial/Periodical titles

Serials and bound periodicals occupy the most space in the stacks collection. While in the stacks indicate the number of physical volumes for the following time periods:

Up to 1925:
1926 - 1950:
1951 - 1960:
1960 - present:

Subject area: If not apparent from the title

Later search each title for: Holdings

Current subscription (Y or N)

Ceased title (Y or N)

Cancelled title (Y or N)

Title changed to _____

If a serial has the latest year in Reference (as indicated by a dummy), please recommend what a suitable backrun should be. Should this be examined by the Selection Committee for a holdings policy?

4. Preservation/bindery treatment

Because of budget constraints, routine binding of some serials and monographs has been done erratically. All materials that show obvious wear should be examined, regardless of imprint date. Only those that do not fit into the other 3 categories for storage or withdrawal should have this section filled out.

First indicate the long-term value to the collection by examining the following factors:

Heavy current use is obvious

Subject area is unique to GT and of research importance

Classic text/novel

Based on the responses above, fill in the form in the appropriate places.

After each LC area is finished, do a rough calculation of the bindery funds necessary to complete the binding of these materials.

Note: This category also includes an area for replacement which is a viable option to binding should a text warrant it.

AD, 4/26/90

COLLECTION MANAGEMENT DECISION FORM

Call # _____ (# of vols. _____)

Copyright date _____
Other editions on shelf _____

Title _____

OCLC: _____
other editions: _____

1. Monograph storage candidate

Subject area:

Textbook: Y/N

Use/Circulation:

- _____ Last 10 years
- _____ Last 20 years
- _____ Earlier than 20 yrs or no indication of use

Gift: Y/N

Date of publication:

- _____ Up to 1925
- _____ 1926 - 1950
- _____ 1951 - 1960
- _____ 1961 - present

Non-English language: Y/N

RECOMMENDATION

- _____ Leave as is
- _____ Definitely recommend for storage (Permanent storage)
- _____ Uncertain (Temporary storage)
- _____ Withdraw
- _____ Other (Describe _____)

2. Multiple copies

Number of copies on shelf: _____

RECOMMENDATION

Copy 1: _____ Leave as is (fill out #1 above)
_____ Storage (fill out #1 above)
_____ Other _____

Copy 2: _____ Leave as is
_____ Withdraw
_____ Other _____

Others:

Shelflist check _____

Sirsi check _____

3. Serial/Periodical Titles

of physical vols, up to 1925: _____
1926 - 1950: _____
1951 - 1960: _____
1961 - present: _____

Subject area:

Holdings:

Current subscription? Y/N

Ceased title? Y/N

Cancelled title? Y/N

Title changed to _____

For serials, is the latest year in Reference? Y/N

Recommend suitable backrun for stacks:

Pass on to Selection Committee

4. Preservation/bindery treatment:

Determine long-term value to the collection:

- ☐ Heavy current use is obvious
- ☐ Subject area is unique to GT (See paperback guidelines)
- ☐ Classic text/novel

*If none of the above:

- ☐ Leave as is
- ☐ Withdraw (Compile a list by title and call# for review, search OCLC)
- ☐ Other (Specify _____)

*If any of the above apply, choose one of the following options:

- ☐ Commercial bindery or ☐ Replacement (BIP \$_____) Comments: later ed. _____
- ☐ Rebind
- ☐ Paperback bind
- ☐ Recase
- ☐ Standard periodical bind
- ☐ Budget periodical bind
- ☐ In-house minor repair work
- ☐ Tip in pages
- ☐ Glue cover to spine (stitching intact)
- ☐ Other (_____)

☐ Too brittle or not suitable for binding

First, search OCLC for library locations:

Total # of locs: _____
of SE locs: _____

- ☐ Replace: check BIP (Price \$_____, later ed. _____)
- ☐ Preserve in photocopy or microfilm
- ☐ Consider as box candidate
- ☐ If possibly rare, notify Head of Archives

THE UNIVERSITY OF MICHIGAN
HARLAN HATCHER GRADUATE LIBRARY

GRADUATE LIBRARY BUHR REVIEW PROCESS

The book stacks in the Hatcher Graduate Library are nearly full, in some places necessitating that books be shelved on the floor or across the tops of other volumes. This makes it difficult for stacks staff to reshelve materials quickly and accurately and ultimately reduces the chances that patrons will find the items they are seeking. Furthermore, the tight packing of the shelves often results in torn bindings as staff and patrons attempt to remove fragile books. Currently, we estimate that overall the stacks are 96% full with some areas running as high as 110% (professional standards suggest a shelf capacity of 75% to facilitate convenient usage and maintenance). The problem is exacerbated by the rapid growth of the collection, the Graduate Library adding 50,000 volumes (the equivalent of one mile of books) each year.

These circumstances require our immediate attention. It will be necessary to relocate a minimum of 100,000 volumes to the Buhr Shelving Facility over the course of the coming year and a half. Although the transfer of items to Buhr is part of an ongoing process of managing the collection, the current circumstances are notable because transfers have been postponed this past year due to the reorganization of book selection and collection management at the Graduate Library. With the new structure in place as of this fall, we are now prepared to resume Buhr review beginning with the most crowded sections of the stacks and gradually working our way through the entire collection.

The review process requires the cooperation of many units within the Library as well as support from the University faculty whose input will be sought throughout the relocation process. Stacks maintenance personnel will be trained to mark volumes in accord with the general guidelines discussed below. These marked titles will then be reviewed by library subject selectors and ultimately by faculty wishing to participate in the selection process. The entire process will extend over a period of months for each area and we will ensure that faculty are notified well in advance of the scheduled review period.

The Graduate Library Collection Advisory Group has developed guidelines for the review that are based in large measure upon the results of two studies of the circulation histories of some eight hundred titles in the Graduate Library collection. One finding of these studies was that while five year gaps in circulation were not uncommon, titles failing to circulate over a ten year period were unlikely to show evidence of subsequent circulation; only 1.4% of the sampled titles circulated after a ten year lapse. This finding was consistent for titles in the social sciences and humanities. Therefore, the committee proposed that titles with imprint dates between 1950-1969, and no evidence of circulation since 1975, be considered as candidates for transfer. Reliance upon last recorded date of circulation is indicated in the literature as the best predictor of future use. It is not being suggested that this is a

measure of the relative worth of a title but rather that it is an accepted method for minimizing likely inconvenience to Library patrons given the necessity to relocate some materials.

The committee further proposed to exclude pre-1950 materials from consideration since these were reviewed during the last wave of transfers. Thus, it is suggested that attention be focused on monographic titles published between 1950 and 1970, which is estimated to account for nearly twenty percent of current monographic stacks collection.

It should be stressed that the general guidelines of the Advisory Group are intended to define the universe from which selection will take place; books matching the criteria will not automatically be transferred but merely marked for review. Thus, the primary purpose of setting out these guidelines is to limit the number of titles that must be looked at by selectors and faculty. From these titles marked for review, we anticipate that a majority will be judged suitable for transfer.

In reviewing the volumes identified by this screening process, librarians will consider many discipline-specific concerns. Such factors as the relative importance of journal and monographic literature, the relevance of primary sources or foreign language materials, and the adequacy of bibliographic access will be taken into account for each discipline. We also intend to work closely with the faculty to ensure that the review process is conducted with the benefit of the fullest possible information about their research needs.

The Buhr facility has established an excellent record for timely response to patron requests and has earned national recognition as a model for a well managed shelving program. Buhr titles are accessible through the GEAC circulation system and our goal is to retrieve items within a twenty-four hour period. The facility itself is climate controlled which is a critical factor in extending the life of the collection. It also has a comfortable reading room and support staff to permit on-site research. The Buhr collection is meant to be dynamic and Library policy recognizes that items may need to be returned to the open stacks as changes occur in research patterns and collection use. In short, we do not view the transfer of items to Buhr as rendering them inaccessible but rather see that collection as a critical element in the overall University Library system.

September 1986

HARLAN HATCHER GRADUATE LIBRARY
GUIDELINES FOR BUHR REVIEW
DRAFT 8/11/86

The Graduate Library Collection Advisory Group proposes the following general guidelines for identifying titles to be reviewed for transfer to the Buhr Shelving Facility.

PART A

It is recommended that stacks staff be trained to identify and mark titles in accord with the following criteria:

1. Monographs bearing imprint dates through 1850.
2. Books with imprint dates from 1950 through 1969 that show no evidence of use subsequent to Dec. 31, 1975.

PART B

In addition, selectors and faculty reviewers are asked to consider the following guidelines when working in the stacks:

3. Added copies of books falling into #2 above should be withdrawn. If moderate or heavy use is indicated, retain the number of copies necessary to satisfy demand. Circulation records of all copies should be treated as a unit to determine the extent of duplication needed.
4. Variant editions, regardless of date, should be treated as candidates for transfer with the understanding that we will retain in the stacks a minimum number of editions adequate to meet anticipated research needs.
5. Review books that include such special features as removable plates, hand-colored illustrations, maps, notable photographs or examples of early color photography.
6. Review scanty serial holdings, serial runs that have ceased publication, and those no longer received by the Library.
7. Consider transfer of serials that duplicate the holdings of a divisional library or serials that have been transferred from a divisional to the Graduate Library.
8. Retain cumulative indexes to serials that have been transferred to Buhr.

THE UNIVERSITY OF MICHIGAN
HARLAN HATCHER GRADUATE LIBRARY

GUIDELINES FOR REVIEWING SERIALS
Draft 8/21/86

[Prepared for Library Staff]

Since serials are published over a range of years and do not freely circulate, publications of this type will not be dotted by Stacks Office staff. Selectors will need to identify and review these materials while proceeding through their assigned classifications. Decisions to transfer serial titles will be based on selector judgment, subject to faculty review. The following general guidelines were developed by the Collection Advisory Group to assist selectors in evaluating serials for possible transfer:

Incomplete Separates (sets of finite length, issued in parts)

In the absence of compelling reasons to the contrary, incomplete sets should not be split nor transferred. Complete sets should not be split, but can be reviewed for transfer as a whole.

Monographic Series

In addition to use, factors to be considered in evaluating monographic series are the number of volumes involved, whether the series is live or ceased, and how it is cataloged. With regard to the latter, titles in series where individual titles are classified separately will be treated individually in accord with the general guidelines for reviewing monographs. Titles in analyzed series can be treated individually with the recognition that access to such materials is occasionally difficult. Series with volumes classified together should be reviewed with an eye toward transferring a run of years that no longer evidence use. Selectors are discouraged from removing all but a few heavily used volumes or otherwise selecting non-sequential volumes.

Periodicals

Scanty and ceased periodicals should be reviewed regardless of date. Consideration should be given to splitting currently received periodicals so that infrequently used, early years of a run are designated for transfer. Generally, selectors should refrain from splitting a run that will result in the transfer of less than three linear feet of materials. The following cutoff dates might provide general guidance for appropriate points at which to split a run:

Science and technology periodicals	pre-1970 volumes
Social and behavioral science periodicals	pre-1960 volumes
Humanities (including history)	pre-1930 volumes

Other periodicals to be considered for transfer to Buhr are those that are duplicated in a divisional library or those that have been transferred to the Graduate Library from a divisional library.

All cumulative indexes are to remain in the GL Stacks regardless of whether the volumes covered by the index have been transferred to Buhr.

THE UNIVERSITY OF MICHIGAN
HARLAN HATCHER GRADUATE LIBRARY

Guidelines for Buhr Transfer Review
Classification "AS": Publications of
Academies and Learned Societies

1. Publications of local and regional academies and societies should be considered for transfer to Buhr, as well as the publications of less than major national academies and universities. Complete runs of publications which have ceased publication should be considered for transfer. Pre-1970 volumes of publications which are currently being received should be considered for transfer. If there is a cumulative index, the volumes covered by the index can be transferred.
2. Pre-1930 volumes of publications of national academies and societies should be considered for transfer to Buhr. If there is a cumulative index, the volumes covered by the index can be transferred.
3. Publications which show frequent circulation should remain in the Graduate Library.
4. Long runs of a publication should generally not be split in a way which will result in the transfer of less than three linear feet of material.
5. Publications with brittle paper should be considered for transfer to Buhr, regardless of date of publication or frequency of circulation, for reasons of preservation.
6. All cumulative index volumes should remain in the Graduate Library.

February 02, 1987

The University of Michigan
University Library
October 24, 1986

MEMORANDUM

TO: Departmental Chairs
College of Literature, Science and Arts

FROM: Richard M. Dougherty
Director, University Library

In 1981 the Library opened its Buhr Shelving Facility and began its systematic transfer of materials from campus libraries to that location. At that time I wrote to you to describe the critical space problems of the Graduate Library and the process that would be initiated to create sufficient space for new materials. Since the Graduate Library adds nearly 50,000 volumes each year (or nearly one mile of books), ideally we need to remove an equal number on an annual basis.

I believe we have been successful in making Buhr an easily accessible facility. Due to careful processing procedures we have a near perfect hit rate in finding requested items and delivering them within 24 hours. Since the collection at Buhr is to be a dynamic one, we've also tried to accommodate requests for returning materials to the library stacks when increased use is likely or when the initial selection decision was no longer appropriate. In addition, all titles sent to Buhr are now reflected in the Library's GEAC computer system.

Several other organizational changes during the last year should further enhance the service we can offer at Buhr. First, the Library has begun a delivery program to faculty offices (747-FAST), therefore no longer requiring that a Buhr item be delivered to a library location. The second major change has been the identification of a single contact librarian within the Graduate Library to work closely with each academic department to build and manage the relevant areas of the collection.

The Graduate Library is now about to embark upon another phase of its continuing review for Buhr transfers. Procedures for identifying candidates for Buhr have been developed and shared with relevant faculty library committees. The attached list of guidelines represents the initial basis for identifying candidates for transfer and follows a similar strategy employed in the past. I would like to point out, however, that modifications to these guidelines may be necessary to accommodate differences in the ways scholars use the literature. We will be providing ample opportunity for both librarians and faculty to review those titles identified by this initial screening process as outlined in the following steps:

1. During the course of the coming year, Library employees will apply the general guidelines in examining individual books and mark these candidates for transfer with colored dots. Departments will be notified when this process is begun in the areas of interest to their faculty.
2. As a classification area in the stacks is completed, librarians who are responsible for selection in that subject area will review the titles designated as candidates and also make recommendations on monographic series and serials. I'm attaching a list of those contact librarians assigned to work in each subject area for your information.
3. Once a subject area has been reviewed by the appropriate librarian, departments will be notified and individual faculty members will be invited to review the candidates for relocation.

The process will be a sequential one with these three stages (initial identification of volumes, librarian evaluation, and faculty review) occurring for each subject area. The sequence for the entire Graduate Library collection will take approximately a year and a half with review commencing in the tightest areas of the stacks.

Since the creation of Buhr, I have heard many positive comments about its efficiency. The Buhr Facility has established an excellent record for timely delivery and has earned national recognition as a model for a well managed shelving program. The facility itself is climate controlled which is a critical factor in extending the life of the thousands of deteriorating volumes in the general stacks. It also has a comfortable reading room and support staff to permit on-site research. While I recognize that remote shelving is not ideal, I believe we have arrived at a strategy for serving local scholars as effectively as possible.

Should you have questions about the ongoing review of materials for transfer to Buhr or the criteria that will be used for this phase, please let me know or contact Wendy Lougee, Head of the Graduate Library (763-1539).

attachments

cc: Ruth Scodel, Chair, LS&A Library Committee

*See Section II for policy concerning SIL Remote Annex
Also Appendices 2 and 3 for relevant terms*

DOCUMENT NUMBER: SIL 80-07 (Supersedes SIL 81-25, SIL 83-8, and SIL 88-03 (which was never approved)); Revised January 19, 1990

DOCUMENT TITLE: DEACCESSION (WITHDRAWAL) AND INTERNAL TRANSFER OF SIL NONRARE COLLECTIONS

DATE OF EXCON APPROVAL: February 12, 1990

AUTHORS: Nancy E. Gwinn and Deaccession/Transfer/Storage Task Force: Martin Smith (Chair), Sheila Riley, Jim Roan, Ruth Schallert, Nancy Seeger, Bob Skarr, Ellen Wells

DISTRIBUTION: Usual and Collections Management Manual

I. INTRODUCTION

The scope of the Smithsonian Institution Libraries (SIL) general collections reflects the needs, activities, and research of the Smithsonian Institution (SI). Materials are initially selected in conformance with written collection development policies and goals. Smithsonian programs and interests change and shift, however, sometimes permanently. Even if this were not so, space and budget limitations prevent comprehensive collecting in any field and require constant review of the collections to ensure that only those items of continuing interest are maintained.

The purpose of this policy is to achieve consistency among SIL branches and with SI museums in the decisions and procedures necessary to withdraw, transfer, and dispose of materials from the SIL general collections. Further, this policy provides guidelines to assist decisions regarding transfers to the SIL Remote Annex (SILRA) from other locations. Because SIL acquires materials through various sources, such as with Federal or Trust funds and as gifts, caution has to be exercised when deaccessioning materials to insure their proper disposition. User consultation is also sought, when appropriate, in deciding the disposition of materials. (For SIL policies relating to special collections, see SIL 86-16: Deaccession of Special Collections Materials, and SIL 84-15: Identification and Assignment of Materials to Special Collections; for Smithsonian policy relating to disposition of materials see Office Memorandum (OM)-808, Collections Management.)

The disposal methods listed in this policy (see II.C., page 4) apply also to unaccessioned materials donated to the SIL but unwanted for the collections.

The following definitions apply to this policy:

Deaccessioning: the formal process of removing permanently from the SIL collections a cataloged item. It includes a review prior to the decision and adjustment of records.

Disposition: the physical dispersal of items that are either deaccessioned or not selected for the collections.

Internal Transfer: to change the permanent assignment of an item from one physical location (as established on SIBIS) to another.

II. POLICY

The Smithsonian Institution Libraries retains library materials only as long as they continue to serve the objectives and purposes of the Institution and can be properly and adequately stored, maintained, preserved, and used. Staff should definitely consider deaccessioning as an alternative to storage (see section II. E., page 5).

A. Deaccession Criteria

SIL Selectors continuously review the collections and may select for withdrawal cataloged nonrare titles after due consideration of the following general criteria:

1. Use: current low use, or anticipated low use.
(For further explanation of use please see page 6)
2. Relevance to current or planned SI research: no longer of SI research interest, nor expected to be of renewed interest, nor to become a topic of historical interest, nor wanted by another SIL branch.
3. Duplication: material is available in another branch which intends to retain or store the title.
4. Availability: held elsewhere in the Washington metropolitan area, or in the case of non-Washington branches the local metropolitan area, or more economically available in other collections, or in electronic databases.

5. Condition: titles which cannot be preserved in their original form because of physical deterioration.
6. Bibliographic Integrity: incomplete or mutilated monographs or serial sets that do not meet minimal holdings standards. These standards apply whether the issues are consecutive or scattered:
 - a. 24 issues constitute minimal holdings for serials issued monthly, or more frequently,
 - b. 8 issues constitute minimal holdings for serials issued bimonthly or less frequently (i.e., quarterly, semiannually).
7. Replaceability: titles that can be replaced in microform or reprint formats.
8. Timeliness: reference books, college textbooks, annual reports, directories, yearbooks, and encyclopedias which are superseded and on standing order.
9. Level of Treatment: juvenile, popular works, elementary and secondary school textbooks.
10. Materials requiring processing: such as cataloging, reclassification, or preservation treatment should be reviewed for possible deaccessioning before processing.

B. Authority to Deaccession

Materials Selectors are responsible for selecting items to be deaccessioned from the general collections, offering relevant items to other branches (including Special Collections), and initiating the paperwork required to adjust SIBIS records, following the procedures outlined below. For items valued at over \$500, approval to deaccession must be secured, as outlined below:

Items valued at \$500 or more	Assistant Director, Collections Management
Items valued at \$5,000 or more	Above, plus Director, SIL

Items valued at \$10,000 or more	All above, plus Office of the General Counsel Assistant Secretary for Research Secretary
Items valued at \$50,000 or more	All above, plus SI Board of Regents or its Executive Committee

As a matter of courtesy, in all cases requiring institutional approval, the Director notifies the donor, if appropriate, and the SI Office of Public Affairs, prior to deaccession.

C. Disposition

SIL disposes of deaccessioned material in any of the following ways, depending on the source of acquisition (with special attention paid to those materials acquired from Federal or Trust funds or as gifts, see SI policy OM-808), and the condition of the item, as well as conditions relating to the dispositions of gift materials (please see Appendix 1 for list of major donors and conditions where known):

1. By transfer to another Smithsonian bureau or office;
2. By transfer to the Library of Congress (LC) or other Federal library;
3. By donation to other nonprofit educational institutions;
4. By exchange through the SIL Exchange Program;
5. By destruction if material is damaged or incomplete and/or of inconsequential value;
6. By sale if material is of sufficient value.

Deaccessioned materials may not be given to private individuals.

D. Internal Transfers

If potential candidates for withdrawal from one SIL branch may be of interest to another branch/branches in the SIL system, Materials Selectors offer them for internal transfer following the procedures outlined in Part III below, prior to initiating withdrawal procedures. Some branches use superseded editions of certain reference works, when they are removed from another branch. When Materials Selectors make such arrangements, they provide the Serial Record unit in Acquisitions Services with the relevant information, then automatically forward the older edition to the Serial Record unit in Acquisitions Services when the new edition arrives.

E. Transfer to SIL Remote Annex (SILRA)

The SIL Remote Annex houses materials that are of continuing interest to SI programs, but which are not receiving current heavy use that would necessitate their being kept in close proximity to SI researchers. The branch library or location which initiates the request for transfer to SILRA is responsible to ensure that the materials meet the guidelines for materials to be transferred to SILRA. (See Transfer Procedures below)

Guidelines for materials which may be transferred to SILRA:

1. Only cataloged monographs and serials that belong to SIL can be transferred to SILRA. This does not include rare materials as defined by SIL Policy 84-15: Identification and Assignment of Materials to Special Collections. However, gift collections that are being considered for addition to SIL can be temporarily housed at SILRA.
2. Normally only one copy of any title may be stored at SILRA. Exceptions must be justified in writing and approved by the Assistant Director for Collections Management.
3. Under normal circumstances when microform replaces a title, either monograph or serial, the hard copy is deaccessioned. However, it may be transferred to SILRA if there are compelling reasons to preserve the original. For example:

- a. For illustrations, plates, binding, annotations, photographs, footnotes etc., thought to add to the item's bibliographic or artistic value.
- b. Materials considered useful for exhibitions where the original has greater impact than a copy.
- c. Materials of questionable authenticity, date, author, or other characteristics ascertainable primarily from physical examination.
- d. Materials with general and substantial public interest because of direct association with famous or historically significant people, places, things, issues, or events.
- e. Materials which because of donor restriction, may not be removed from the collection.
- f. Materials deemed by curatorial staff to have historical significance and which do not fit any of the other categories.

All requests for transfer to SILRA are contingent upon available space. When items are transferred, the location in the SIBIS record is changed to SILRA and the item is relabeled. In all cases, final decisions for transfers to SILRA are made by the Assistant Director for Collections Management or a delegated representative. See Appendix 2 for request form. Periodically a survey may be taken to estimate the space requirements for storage. See Appendix 3 for survey form.

Two principle objectives determine the selection of materials for transfer to storage:

- 1. to make space available in branch locations for materials in greater demand,
- 2. to secure library materials which may require special preservation.

Criteria for selecting an item for storage:

- 1. Use: whether actual or estimated; lesser used items should be stored to make room for materials that are used more heavily.

- a. Actual use can be measured from circulation records, in-house use, and patron consultation.
 - b. Estimated use can be predicted from such characteristics as:
 - (1) language of the materials (foreign language materials are less likely to be used),
 - (2) publication date (older materials may be less likely to be in-demand),
 - (3) degree of relevance of the subject fields to the collection,
 - (4) format (such as textbooks or laboratory manuals, etc.).
2. Value criteria: used to identify materials of lesser value, but still potentially useful to the collections, include:
- a. out-of-date information with historical significance,
 - b. serial backruns, or ceased or cancelled serials,
 - c. rarely used dissertations,
 - d. highly specialized materials that become dated quickly,
 - e. older editions of works,
 - f. specific blocks of call numbers or certain categories of materials that are out-of-scope or do not have current usefulness, e.g., materials with Dewey call numbers may as a category may be older and less heavily used.
3. Preservation of certain brittle materials: when microforms or replacement copies are not available, brittle materials that still have value for the collection may be transferred to SILRA for preservation purposes, if bibliographically complete and intact. All decisions for transfer to SILRA for preservation purposes must be approved by the Head, Preservation Services.

III. PROCEDURES

A. WITHDRAWALS AND TRANSFERS

1. Accessioned and nonrare titles unwanted by the branch and not pertinent to (see SIL Collections Policy Manual), or in duplication of other SIL collections.

- a. Monographs, etc., procedures in branch.

For all Bibliographic Materials excepting Serials (for Serials see III. A. 1. c. and d., page 10) the branch completes the form labeled "Materials for Withdrawal or Transfer" (SI-426), circles "Withdrawal", inserts it into the book along with any documentation (described below) and forwards it to Catalog Records. If large numbers are to be withdrawn (15 items or more), the branch contacts Catalog Records to schedule the processing. The branch takes the following steps:

- (1) SIBIS CAT is always searched for the bibliographic record, being careful to correctly identify that it is not a serial and to match title, imprint, and edition. When there are multiple listings for the same title in the index, each is checked in the search for the correct item level 966 field (use MAR display) which contains the holdings information for the piece in hand.

In determining which is the correct 966 field, check all subfields, but especially \$b for the barcode. Other 966 subfields to check include \$l location, \$m material type, \$s call number, \$d-i bibliographic subdivisions, \$n notes, such as accession numbers and printing dates.

- (2) When the monograph is barcoded and matches the barcode in the online record, the branch sends only the book with SI-426 (a SIBIS printout is not necessary).

- (3) When the monograph is NOT barcoded AND is classed in LC*, AND when the correct SIBIS record displays a barcoded 966 field which seems to describe the item being withdrawn, the branch looks for that barcode by call number on the sheets of unattached barcodes left in the branch. Branch checks to see that it matches the barcode displayed in the 966 field and, if it matches, attaches it to book and sends only the book with SI-426 (a SIBIS printout is not necessary).

*NOTE: Dewey classed books which are not barcoded AND whose call numbers on SIBIS are NOT preceded by a size designator ("m" for miniature, "q" for quarto, or "f" for folio): send book with SI-426 and printout.

- (4) When there is a barcode problem (monograph has barcode which does not match a barcode in the SIBIS record or, a barcode cannot be located on the sheets of unattached barcodes) the branch checks first for errors (wrong SIBIS record, an incorrect application of an intelligent barcode, or sheets of barcodes out of order).
- (a) If error cannot be determined, branch verifies any of the branch's holdings on the record by checking the barcodes in the 966 fields and on the barcode sheets against the shelves, charge files and any other branch files. By using this process of elimination, the branch identifies for Catalog Records the correct 966 field, if any, for the piece in hand.
- (b) Branch makes a printout of holdings screen of the "MAR" display of the SIBIS record; being careful to include ALL 966 fields and 002 field. Branch circles the 966 field which describes the item or otherwise notes findings of

verification and sends the printout, along with the book and the SI-426 to Catalog Records.

- (5) If the title is not found in SIBIS, branch adds that information on form SI-426 and sends the book to Catalog Records.

b. Monographs, etc., procedures in Catalog Records.

Catalog Records withdraws holdings from all appropriate records. (When the material sent from the branches needs clarification, Catalog Records sends form SI-3500 "Request for Information, RSD", and when necessary, the book back to the branch for resolution.) Catalog Records stamps "Withdrawn" over the existing SIL property stamp using acid-free ink and bags the books for pick-up by Shipping and Receiving with the following label:

LIBRARY OF CONGRESS
EXCHANGE & GIFTS DIVISION
STOP 141

Shipping and Receiving brings all of the bags to a designated holding area at the NHB west loading dock.

c. Serials.

For serials being withdrawn, the branch sends the physical items, the branch serial record card and SIBIS printout for the title to Serial Records for withdrawal from the kardex. Serial Records processes the physical pieces (see procedures outlined in III. A. 1. b. above).

d. Serials Records procedures.

Serial Records informs Catalog Records in writing when all holdings on a title for a branch are withdrawn, being careful to note whether the withdrawal constitutes a complete removal of the title from the entire system (this is determined only after checking current and noncurrent files). Catalog Records withdraws holdings from all pertinent

records, and, in the case of complete withdrawals from the system, removes SIL holdings from OCLC.

e. Missing Books (Nonrare).

Before withdrawing missing books (piece cannot be located), refer to the SIL Policy on Missing Books (Nonrare) (to be issued) for policy and procedures.

2. Accessioned titles that may be of interest to other SIL branches. (TRANSFERS)

- a. The branch chief or designated staff searches the title in SIBIS to see who else owns it in the system.
- b. The branch notifies Special Collections of any rare or valuable titles being withdrawn, even if they are duplicates. (For any publications that fall within the guidelines for Special Collections, please consult SIL Policy 84-15 "Identification and Assignment of Materials to Special Collections.") All rare withdrawals must be reviewed by the Chief of Special Collections, following SIL Policy 86-16 "Deaccession of Special Collections Materials." All procedures for identifying the correct copy on SIBIS are followed (see III. A. 1. a. (1)-(5), page 8) and the books are placed on the Rare Books review shelf in Catalog Records.
- c. For transfers to SILRA, branch chief submits the form Request to Transfer Materials to SILRA to the SILRA librarian for approval. A copy of the approval is sent with the materials to be transferred to Catalog Records.
- d. The branch inserts the form labeled "Materials for Withdrawal or Transfer" (SI-426) into the book, to indicate that some action is to be taken; leave blank at this point.
- e. The branch sends an Electronic mail (E-mail) query, or circulates the SIBIS record or a xerox of the title page of the title to the selector(s) who collects in this area. If it is a large collection, the branch requests

the Selector(s) to come to view the materials on-site in the branch. If wanted by more than one branch, the unit manager makes the decision.

f. Monographs.

If wanted by any selector or approved for transfer to SILRA, the withdrawing branch completes the transfer information on form SI-426 and circles "Transfer". The branch follows the procedures outlined above in III. A. 1. a. (1)-(5), page 8. Catalog Records makes the appropriate online changes and forwards the physical piece to Automated Bibliographic Control for relabeling. If large numbers are to be transferred (15 or more items), the branch contacts Catalog Records to schedule the processing.

g. Serials.

Superseded editions of annuals and other serials, are forwarded by the branch to Serials Acquisitions for notation in the kardex and appropriate reassignment. If the transfer is to a new location, Serial Records sends a copy of the changes to Catalog Records, where the appropriate online records are changed.

h. For superseded editions of monographs, follow the procedures outlined above in III. A. 2. a.- e., page 11. If uncertain whether monograph or serial, check the material type in the SIBIS record.

i. If unwanted by the Selectors, the withdrawing branch completes the withdrawal information on Form SI-426, circles "Withdrawal" and follows the procedures outlined above in III. A. 1., page 8.

3. Accessioned Smithsonian publications that may be of interest to Central Reference and Loan Services (CRLS) or SI Archives.

a. See SIL Policy 86-08 "Smithsonian Institution Publications." The branch follows the procedures outlined in III. A. 1. a. (1)-(5), page 8, to identify the correct copy on SIBIS

and sends any publications to CRLS for possible addition to or replacement in the Smithsonian Collection.

- (1) If CRLS determines that the title is wanted by SI Archives, the CRLS selector sends the piece, with SI-426 and any accompanying printout, to Catalog Records for transfer following the procedures outlined in III. A. 2. e., page 11. Serials, however, are sent to Serial Records following the transfer procedure outlined in III. A. 2. f., page 12.
- (2) If the title is not wanted by SI Archives, CRLS follows the withdrawal procedure outlined in III. A. 1., page 8.

B. PURCHASED AND GIFT DUPLICATES

1. Duplicates found in Automated Bibliographic Control Unit (ABC), Original Cataloging and Indexing Services Unit (OCI), and Catalog Records Unit (CR).

Duplicates are not returned to the branch uncataloged. The processing units follow the procedures outlined below:

- a. The processing unit records the search information on the search slip and inserts the slip into the piece.
- b. Duplicates are sorted in the processing unit, separating books with SIL property stamps from those without SIL property stamps.
- c. Duplicates are placed onto a book truck, with all forms included in the books, and the book truck is taken to the Gifts and Exchange (G & E) Section. G & E offers the book trucks for review by selection officers when they visit the Section to review the gift offer shelves.
- d. At the end of the review period, all unselected titles are removed from the trucks by G & E staff, and SIL property stamped duplicates are stamped withdrawn and forwarded to LC.

- e. Gift duplicates not SIL property stamped are forwarded to LC.
 - f. Purchased duplicates not stamped with the SIL property stamp are placed onto a book truck and delivered to the Acquisitions Department Monographs Section and are returned to the vendor for credit.
2. Unwanted Duplicates found in the branch.

Follow the procedures outlined in III. A. 1. and 2.

REQUEST TO TRANSFER MATERIALS TO SILRA

Please use this form to request transfer or storage of materials to SILRA. Please consult SIL 80-07: Deaccession (withdrawal) and Internal Transfer of SIL Nonrare Collections, before making estimates.

Date :

Library name:

Your name:

Location :

Telephone:

1. Estimated number of linear feet of materials to be moved to SILRA (one library shelf = 3 linear feet):

Serials _____

Monographs _____

2. Of the materials to be moved, give the number of linear feet of uncataloged volumes (including unaccessioned gifts):

Serials _____

Monographs _____

3. Other materials to be moved, e.g., maps, microfilm, etc.

Amount, pieces, linear feet etc. _____

Please indicate (check) deposition of these materials:

_____ Permanent transfer to SILRA

_____ Temporary storage in SILRA, please check or answer the following, as appropriate:

- (a) Estimate length of storage: _____ months
 (b) _____ Unbox and shelve materials for access
 (c) _____ Can be left in boxes during storage
 (d) _____ Please hold for evaluation (gifts)
 (e) Who will do the evaluation? _____
 (f) _____ Please notify evaluator when materials are ready for inspection.

ALL TRANSFERS TO SILRA MUST BE APPROVED IN ADVANCE BY THE SILRA LIBRARIAN. (Surplus property must be processed through PAO).

All materials must be boxed, and if there are more than 4 boxes, these must be on pallets. If materials are in order, the boxes should be numbered to reflect the order. Every box must have a shipping label with the SILRA address. SILRA staff can supply boxes, shipping labels, and pallets, if needed. Please call 357-4261 for information or assistance.

Please return this form to: Library (SILRA), SISC, Room 2H11

SURVEY OF POTENTIAL TRANSFERS TO SILRA

In order to effectively organize the space at SILRA and to assist branch managers in planning their own library space, it is necessary to project approximately how much material you plan to transfer to SILRA within the next five years. Please consult SIL 80-07: Deaccession (withdrawal) and Internal Transfer of SIL Nonrare Collections, before making estimates.

Library name:

Your name:

Location :

Telephone:

1. Estimated number of linear feet of materials to be moved to SILRA:

Serials _____

Monographs _____

2. Of the materials to be moved, give the number of linear feet of uncataloged volumes (including unaccessioned gifts):

Serials _____

Monographs _____

3. Of the materials to be moved, give the number of linear feet of Dewey volumes (if any):

Serials _____

Monographs _____

4. Of the materials to be moved, indicate the linear feet of "split serials" (current issues in branch with older holdings in SILRA) you want to send:

"Split" serials _____

5. Other materials to be moved to SILRA, e.g., maps, microfilm, shelving, equipment etc.

Approximate amount, pieces, shelves, or linear feet etc. to be sent

6. When do you anticipate moving these materials to SILRA?
Approximate time frame:

_____ within the current fiscal year

_____ within 1 to 2 years

_____ within 3 to 5 years

Please return this questionnaire to Martin Smith, NASM 3107, by:

UNIVERSITY OF WASHINGTON LIBRARIES

Operations Manual

Policies, Guidelines and Procedures

Vol. IV
Section C, No. 13
May 1985
Rev. June 1988

Guidelines for the Selection of Material for Kane Hall Auxiliary Stacks

1. Use of Kane Hall Auxiliary Stacks.

The Libraries' on campus storage facility, Kane Hall Auxiliary Stacks, is located beneath the Odegaard Undergraduate Library and Kane Hall and is used to house valuable, lower-use material that must continue to be available quickly to campus users, and may house some higher use materials that lend themselves to quick retrieval. It may also be used as a secure area for low use material with a history of theft or mutilation. It is not to be used for material more suitable for discard or for deposit at the Center for Research Libraries. Questions about suitability of material for storage or for the Center for Research Libraries deposit should be directed to the Assistant Director, Collection Development and Management.

This facility is used for housing of material from all units in the Libraries except for the Odegaard Undergraduate Library collection. Branch library selectors must make a distinction between material that is sent to Auxiliary Stacks and that sent to Suzzallo Library. Items for storage should fall within the Guidelines. Only the following types may be considered for relocation to Suzzallo: 1) high use material which cannot be accommodated in the branch; 2) titles wanted by the selector for the active Suzzallo collections but which are no longer in scope for or receiving use in the branch; 3) titles of continuing need for interdisciplinary use; 4) material identified in the collection development policy as being part of the branch subject collection but which is housed in Suzzallo.

2. Collection Development.

All material sent to Auxiliary Stacks must be covered by a current collection development policy or be otherwise determined by a selector and/or the Assistant Director, Collection Development and Management to be of value to the general collections or to the needs of the campus community.

3. Bibliographic Control.

All items must be cataloged or under some form of bibliographic control e.g., SUDOCs number, that allows for ease of identification, retrieval, and reshelving by a central unit. Exceptions may be made only by the Associate Director, Bibliographic Control and Access Services, or by the Head, Circulation Division. Items in those portions of the collection which have been reconned and loaded will have the authoritative record available on Geac. Other items will be accessed through the card catalog and location file.

Non-Suzzallo units which send the complete holdings of a title to Auxiliary Stacks should retain the shelf list, annotated with relocation/discard information, and should pull all other cards from the public catalog. (This will facilitate future barcoding projects.)

4. Physical Limitations.

Any material excepting folio and elephant folio, that lends itself to storage on standard library shelving can be sent. Material that does not conform to this criterion and for which storage is needed should be brought to the attention of the Assistant Director, Collection Development and Management or the Head of Circulation. Materials requiring a special environment for preservation, e.g. microforms, rare books, normally should not be considered. Unbound material may be sent. If the physical format is not substantial, or if it is in poor physical condition, the material may be sent in a Megafile box, or arranged in a Princeton file, or in an envelope, with clear identification on the outside. The Circulation Division has the responsibility for determining an acceptable method of handling such material. Material in very poor condition requiring special handling may not be sent.

5. Types of Materials.

The storage of ceased serial runs, backruns of current serials, single title sets, and unanalyzed sets and serials, is preferred initially because of the ease of record changing, but individual monographs also are to be relocated, and should receive attention in call number ranges previously reviewed for serials and sets, especially in Dewey's.

As a general systemwide guideline, backruns for periodicals, with dates prior to 1960 should be considered for Auxiliary Stacks. However, because of differing use patterns, each location should set its own single cut-off date for periodicals and adhere to that date as much as possible when selecting material for Auxiliary Stacks. If use warrants, exceptions may be made on a title by title basis. Additional volumes of serial titles now in Auxiliary Stacks may be sent.

When part or all of a serial publication is sent to Auxiliary Stacks, all separately bound indexes to that publication will remain in the active collections. Indexes to monographic material will accompany the material to Auxiliary Stacks.

6. Usage.

Whenever possible, lesser used materials should be selected for relocation to Auxiliary Stacks. However, in some collections, much of the serial material that fits this criterion has already been sent to Kane Hall. Concentration in these collections should be first on low use monographs and then on serials experiencing only occasional use. Ten years with rare or without any circulation of a single title, or part of a set or serial may serve as a guide for low or infrequent use. For some material, between 5-10 years with no circulation may be the guideline. An example of this is a title acquired 5 years previously to serve the needs of a highly specialized program or research project which is no longer in existence. Although the material was used heavily at the time it was acquired it has not sustained, and probably will not sustain further heavy or frequent use.

When a title that can circulate shows little or no use, consideration should be given to the nature of the material. Is it a directory or ready reference work which would usually be used only or primarily at the shelves for quick information? The contents and condition of the volume should provide some clues.

When evaluating usage, weight is given to identifiable on-campus use. Evidence of use for interlibrary lending (ILL, RSP, RSS) may be disregarded.

Library Use Only material may have been so designated either because of heavy usage or for protection. If the designation is for protection, the material may be considered for relocation to Auxiliary Stacks. Materials designated Library Use Only because of high use/need should not be considered for relocation to Auxiliary Stacks.

7. Duplicates.

Duplicate copies experiencing low use currently and for which future use is projected or which are intrinsically valuable for another reason are not specifically excluded from Auxiliary Stacks. However, selection of duplicates, or any material, for storage should not take the place of normal weeding activities.

8. Access to Material.

Materials are picked up by the Circulation Division from Auxiliary Stacks twice each day, Monday through Friday and once a day, Saturday and Sunday. Borrowers may request, pick up, and return items at the Suzzallo Circulation Desk or at any other circulation unit in the system. If necessary, users may accompany circulation staff to Auxiliary Stacks in order to identify specific material needed.

The Circulation Division is responsible for identifying material which develops a pattern of use over time, and for notifying the head of the sending unit or, in the case of Suzzallo material, the selector. At that point, consideration will be given to returning the material to its original location. Refer to the Supplement to this policy (attached) for more information.

9. Procedures.

With the exception of special projects conducted for the purpose of relocating large amounts of material, the procedures to be followed when relocating material to Auxiliary Stacks are those outlined in the Operations Manual, Vol. IV, C.4. "Relocation of Library Materials."

University of Washington Libraries

Operations Manual

Policies, Guidelines and Procedures

Vol. IV
Section C, No. 13
Supplement
September 1986

Policy on Returns from Kane Hall Auxiliary Stacks

Policy

Material sent to Kane Hall Auxiliary Stacks (KHAS) may be returned to the active collection from which it was originally sent when the need for that material is determined to be continuing and of reasonable duration, or when use of the material requires access in the active collections.

Guidelines

Libraries' users, selectors, and other staff may identify material to be reviewed for return to the active collections. The review of titles is the cooperative responsibility of the Collection Development Coordinator (CDC), the selector, and the unit head, with final decision-making the responsibility of the unit head because of space considerations. The Collection Development Coordinator, will act as unit head for material under consideration for return to the Suzzallo Main Collection, with the Head, Circulation Division acting in an advisory capacity regarding space availability.

Procedures

Libraries' users, selectors, or other staff who identify a title they wish to have reviewed for return to the active collections from KHAS should submit a written request to the CDC, noting title, call number, and, if a serial, the volumes or dates of the run recommended for return. A brief explanation of why the request is being made should be included: Libraries' staff should use the Lib. 124 (Relocation Request) for this purpose. Users may submit a note.

- A. Staff members who receive such requests from users should forward them to the CDC, who will do the initial review, consult as necessary, and make a recommendation to the unit head and selector, using the Lib. 124. Standard procedures, as in Vol. IV, Section C, No. 4, (Relocation of Library Materials) are followed.
- B. The Suzzallo Circulation Division keeps records of all titles circulated, and will refer heavily used material to the CDC for review. The CDC will proceed as in A. above.
- C. When written requests are received from users, the CDC will report the Libraries' decision to the requestor, and will provide copies of any written responses to the unit head and selector.



OMS

Systems and Procedures Exchange Center

USER GUIDES

NORTHERN REGIONAL LIBRARY FACILITY

OFF-CAMPUS BOOK SHELVING

Richmond Field Station, Bldg. 400

Telephone: (415) 642-6233

The Northern Regional Library Facility (NRLF) is the shelving facility for less-used Library materials owned by the University of California. NRLF is located in Richmond, about five miles northwest of the Berkeley campus. Because the UCB collections exceed the space available in campus libraries, nearly two million Berkeley volumes are shelved at NRLF. In GLADIS, records for these materials contain the note "Shelved Off Campus." In the MELVYL® online catalog, the records show NRLF as the holding library.

OBTAINING MATERIALS FROM NRLF

■ ON-CAMPUS PAGING

All Library patrons may have materials paged from NRLF through the circulation desk at any campus library. Items requested at the Main Library Monday through Thursday are available for pickup the following day. Items requested Friday through Sunday are available the following Monday after 4 pm. Items requested at branch libraries often take one day longer before they are available.

■ NRLF ON-SITE USE

Who is eligible?

All patrons who wish to come to NRLF must have a valid UC library card. Patrons with a Reference/Library Use (status 40) card may have materials paged for use in the NRLF Reading Room only. Other categories of library patrons (status 1-39) may use materials in the NRLF Reading Room or borrow them for home use. UC graduate students and faculty are eligible to enter the NRLF stacks; however, most prefer to have NRLF staff page their requested items. Those who do not have a UC library card, or who are in doubt about their privileges, should apply at the Service Desk in the Main Library before going to NRLF.

NRLF is open to on-site users Monday-Friday, 8:00 am to 5:00 pm, except University holidays.

Call ahead

Those wishing to pick up or use material at NRLF are encouraged to telephone with their requests. NRLF staff will check for availability and have material ready for use when the patron arrives.

LIBRARY CARDS REQUIRED FOR ADMITTANCE!

All UC and Stanford library users must show their valid UC or UC/Stanford Cooperative Program library card to be admitted to NRLF.

■ HOW TO GET TO NRLF: See other side.



■ HOW TO GET TO NRLF BY BUS

Transportation between the Berkeley campus and NRLF is provided by the Richmond Field Station (RFS) bus.

Upon request, the driver will deposit passengers at NRLF (Building No. 400).

RICHMOND FIELD STATION BUS SCHEDULE

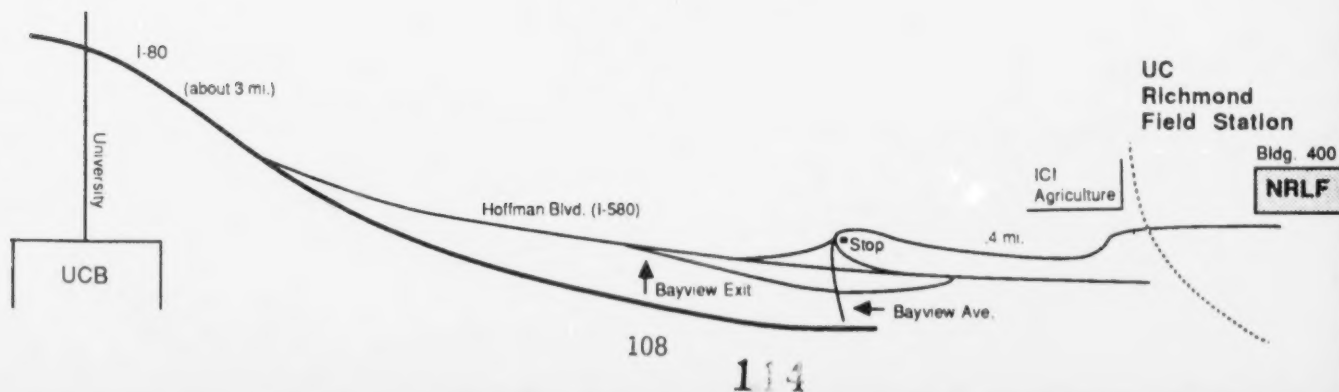
LEAVE CAMPUS	ARRIVE RFS	LEAVE RFS	ARRIVE CAMPUS
7:35 am	8:00 am	8:30 am	9:00 am
9:10	9:35	9:40	10:05
10:10	10:35	10:40	11:05
11:10	11:35	11:40	12:05 pm
12:10 pm	12:35 pm	12:40 pm	1:05
1:10	1:35	1:40	2:05
2:10	2:35	2:40	3:05
3:10	3:35	3:40	4:05
4:10	4:50	5:00	5:30

All RFS buses leave the Berkeley campus from the Hearst Mining Circle. Buses leave the Richmond Field Station from Buildings 112, 190, 480 and 478. Buses stop at the downtown Berkeley BART station, Shattuck and Center, before returning to the Hearst Mining Circle to begin another trip.

The shuttle system operates Monday through Friday (University holidays excepted). It is available at no charge to faculty, students, and employees whose activities require their presence at the Richmond Field Station.

■ HOW TO GET TO NRLF BY CAR

Drive WEST (toward Bay) on University Avenue.
Turn NORTH (toward Sacramento) on Interstate 80 (it's also 580).
Veer left onto Hoffman Blvd., still 580 (about 3 miles).
Take the Bayview offramp and turn left to cross the freeway.
After the stop sign, drive $\frac{1}{2}$ mile to the RFS; continue ahead to Building 400.
Convenient parking is provided free to patrons who drive to NRLF.





UNIVERSITY LIBRARIES

ACCESS TO LIBRARY STORAGE 12401 Euclid Avenue

WHAT IS LIBRARY STORAGE?

University Libraries maintains a storage facility for less-used materials. A map and directions for reaching the facility are printed on the reverse of this fact sheet.

HOW CAN MATERIALS BE RETRIEVED FROM STORAGE?

Complete an Access Services Request Form, available at the Reference desks and Access Services offices in Freiburger and Sears libraries. The Access Services Department retrieves items from Library Storage daily, Monday through Saturday. Requests submitted before 3:30 p.m. can usually be retrieved by 5:00 p.m. the same day. All materials will be delivered to the Circulation desk of the library from which the request originated unless otherwise specified on the request form. Patrons will be notified only if their requests cannot be located.

Books retrieved from Library Storage can be charged out on the same basis as other circulating materials. Journal articles can be photocopied on request; or entire journal volumes can be retrieved for use in Sears or Freiburger.

IS THERE A CHARGE FOR RETRIEVAL?

Library Storage retrieval service is provided free of charge with the exception of photocopy service. Photocopies will be supplied at a cost of ten cents per page. The submission of a request form for photocopies implies a commitment to pay in full for the item requested.

MAY I VISIT LIBRARY STORAGE?

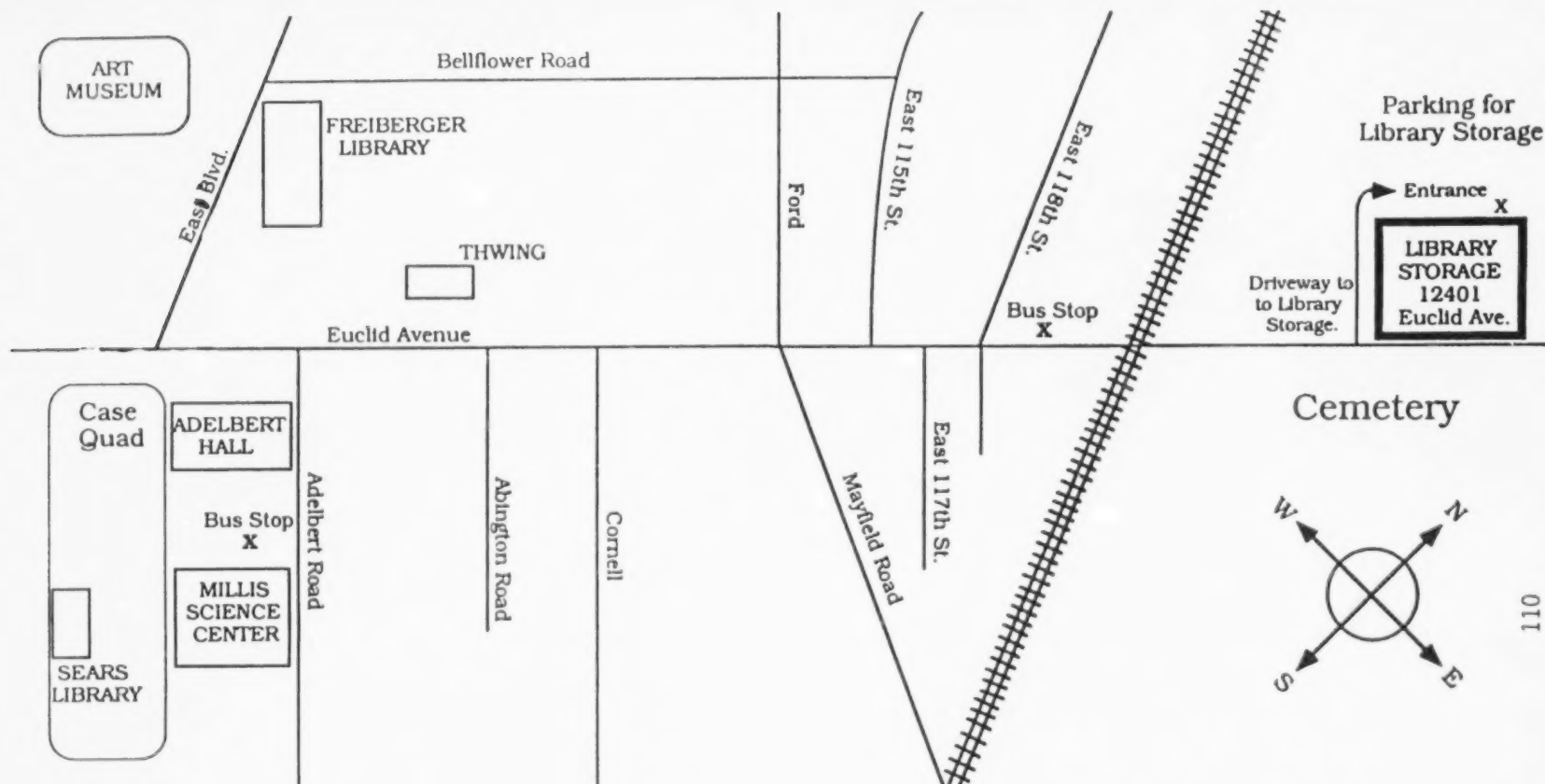
Library Storage is open to the public from 1:00 p.m. to 4:00 p.m., Monday through Friday. It is strongly suggested that you complete your research on library holdings at either Sears or Freiburger before going to Library Storage. As in our other libraries, periodicals do not circulate. Books, documents and theses may be charged out from Storage. Photocopying may be done on site at ten cents per page. Photocopy credit cards cannot be accommodated; photocopies may be charged to your account or paid for in cash. Study space for the use of storage materials is available.

HOW DO I DETERMINE THAT A VOLUME IS IN STORAGE?

Reference librarians at Sears and Freiburger libraries will assist you in filling out the Access Services Request Form and will verify that the material you are seeking is housed in Library Storage.

WHAT COLLECTIONS ARE HOUSED IN LIBRARY STORAGE?

Library Storage houses materials that have been determined to be low enough in usage to be stored outside of the libraries, thus making more space available in the existing library buildings for new or heavily-used materials. Library Storage currently houses approximately 250,000 volumes and is growing rapidly. Most volumes are periodicals and government documents. There is also a collection of theses over ten years old in the sciences, engineering and management. Substantial monograph collections are also housed in Library Storage.



To drive to Library Storage from CWRU:

Drive east on Euclid Avenue, past 118th St. and under the railroad tracks. Library Storage is in the first of a series of large brick buildings on the left (12401 Euclid).

Turn left into the driveway just before the building. Follow the driveway to the parking area behind the building. The door to Library Storage is just beyond an overhead ramp that connects the roof of the building to the land behind the parking lot.

To take a Campus ('Greenie') Bus to Library Storage:

During the hours that Library Storage is open to the public (1:00 p.m. to 4:00 p.m. Mon.-Fri.) the Greenie Bus Line 'C' runs approximately every 15 minutes between the Millis/Adelbert bus stop and the 118th/Euclid stop. It is necessary to walk between 118th and the storage facility.